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ABSTRACT

This program model focuses on adult residential inmate aftercare programs. Critical issues in halfway house operations, a model for evaluation, and innovative variations are discussed. The facilities discussed include public and private halfway houses that provide residential services to adult offenders as a transitional step between their release from an institution and their return to independent living within the community. The study defined halfway houses as facilities which accept ex-offenders released from prison, provide the basic necessities of room and board, attempt to determine each individual's problems with reintegration, plan a program to remedy these problems, and provide supportive staff to assist the resident is resolving problems and returning to society as a law-abiding citizen. This study encompassed a review of the literature dealing with adult residential inmate aftercare, a review of available evaluation of halfway house facilities, and a nationwide survey of halfway houses. The study examines critical issues in halfway house establishment and operations, including needs assessment, goal-setting, funding, location, programming, administration, evaluation, and accreditation. Critical issues as expressed by halfway house administrators are combined with the information available from the surveys and site visits to develop generalized prescriptive statements regarding each of these problem areas. The need for evaluative research is discussed, accepted evaluative techniques are examined, a model research design which can be implemented by a single halfway house in order to evaluate its operation is presented, and suggestions for utilizing evaluation results are offered. The study discusses innovative programs and planned variations which have been used successfully by experienced halfway house administrators and explores areas in which flexibility and imagination have enhanced the administrator's ability to provide the type of treatment and services required by ex-offenders in returning to community living. A selected bibliography is included. (Author)

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Halfway Houses

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CONTENTS

Chapter		Page
I.	**INTRODUCTION**	1
	A. Definition	1
	B. Halfway Houses in the Correctional Process	2
	C. The Need for Guidelines	2
	D. Sources of Data	2
	E. Organization of the Manual	3
	Notes	3
II.	**CRITICAL ISSUES IN HALFWAY HOUSE OPERATIONS**	5
	A. Typology	5
	B. Needs Assessment and Goal Setting	5
	1. Provision of program services	8
	2. Provision of secure environment	8
	3. Provision of house support operations	9
	4. Systematic planning	9
	5. Goal-setting strategies	9
	C. Funding	10
	1. Public vs. private	11
	2. Funding sources	11
	3. Proposals	11
	4. Funding continuity	12
	D. Location and Site Selection	12
	1. Community attitude	12
	2. Type of neighborhood	13
	3. Type of facility	13
	E. Administration and Management	14
	1. Public vs. private	14
	2. Fitting into the community	14
	3. Administrative hierarchy	15
	4. Staffing	16
	5. Management of house operations	18
	F. Programming and Treatment	19
	1. Halfway house services	19
	2. Philosophies and models of intervention	19
	3. Considerations in program design	20
	4. Needs and resources of the client	20
	5. Needs and resources of the house and community	21
	6. Time in the program	21
	7. Treatment modalities	21
	G. Accreditation for Halfway Houses	22
	1. Development of standards	22
	2. Proposed standards for accreditation	24
	H. Evaluation	25
	1. Uses of evaluation	25
	2. What to evaluate	26
	3. Research design	27

a. Experimental design 27
b. Quasi-Experimental design 28
c. Nonexperimental design 28
d. Cost analyses 29
4. Measurement of goal achievement 30
5. Current practice in research designs 31
Notes 32
III. **EVALUATING A HALFWAY HOUSE: A MODEL** 35
A. Data Collection Points 35
B. Needs Assessment 35
C. Goal Progress 37
D. Program Completion 37
E. Correlational Analyses 37
F. Programmatic Activity Evaluation 38
G. Cost Analysis 39
H. Followup Assessment 39
I. Outcome Comparison 40
J. Resident Evaluation 40
K. Outside Consultants 41
L. Evaluation Materials 41
Appendix A: Data Collection Forms 43
Appendix B: Resident Needs Assessment 61
Appendix C: Subjective Assessment of Resident Progress 64
Appendix D: Resident Background Variables 68
Appendix E: A Measure of Relative Adjustment 72
Notes 78
IV. **INNOVATIVE VARIATIONS** 79
A. Management by Objectives 80
Form A: Job Target Work Sheet 83
B. Management Information System 85
Form B: Resident Status Sheet 86
Form C: Goal Achievement Progress 87
Form D: Monthly Client Flow Data 88
Form E: Individual Log Fact Sheet 89
Form F: Staff Performance Review Form 90
C. Mutual Agreement Program 85
Form G: Residency Contract 99
D. Restitution in Community Residential Centers 98
1. The Minnesota experiment 98
2. Results 103
3. Issues raised by restitution 103
4. Summary 104
Form H: Restitution Contract 106
Notes 108
SELECTED BIBLIOGRAPHY 109

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As a part of this Program Model, the authors visited three halfway house agencies: the Minnesota Restitution Center in Minneapolis, Magdala Foundation in St. Louis, and the Massachusetts Halfway Houses, Inc. in Boston. The Directors of these agencies, Ron Johnson, Thomas Mangogna, and Bryan Riley respectively, were cooperative above and beyond the call of duty. Collectively, they provided us with hours of their own and their staff members' time. They candidly shared their successes, trade secrets, and failures with us. We are greatly in their debt.

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Finally, our thanks and appreciation to Sarah Hall, who typed and retyped our many drafts.

GOT A MOMENT?

We'd like to know what you think of this Program Model. The last page of this publication is a questionnaire. Will you take a few moments to complete it? The postage is prepaid. Your answers will help us provide you with more useful Program Models.

CHAPTER I. INTRODUCTION

The past 20 years have seen an extraordinary growth in the development of community-based correctional programs for criminal offenders. Although halfway houses have been in existence for well over a century, the increased interest in and use of these facilities since the late 1950's has been remarkable. The acceptance of community-based programs as an important component in the correctional process has been encouraged by several factors. Dissatisfaction with the use of the traditional penal institution has emerged, not only from commonly-acknowledged inhumane conditions within prisons, but also from research findings which illustrated the ineffectiveness of institutional corrections in achieving the rehabilitation of the convicted criminal offender.(1)

Changes in correctional theory have also contributed to the acceptance of community-based programs. The emerging concept in corrections has been the reintegrative model. This model recognizes the harmful effects of isolation from the community and encourages the use of transitional halfway house (and other) facilities to provide basic needs and lessen the pressures on the offender of returning to independent community living.

Another factor lending support to the use of halfway houses for criminal offenders has been the successful operation of this type of facility in the mental health field.(2) Mental health institutions have suffered from similar types of problems which have confronted penal institutions, and these problems have been reduced by the establishment of community mental health centers to be used either as alternatives to institutionalization or as mechanisms to facilitate the gradual reentry of the client to community living.

Three major reasons are generally advanced to support the use of community-based programs for criminal offenders. First, as mentioned above, the treatment of offenders in the community is regarded as more humane than placement in a traditional penal institution. In addition to reducing the effects of institutional overcrowding, archaic and makeshift plants, sometimes deplorable conditions, and inadequate staffing, the use of community-based programs allows the offender to maintain ties with his family and friends and remain in the job market. Many penologists also believe that it is inhumane to release a long-incarcerated offender directly into a community which may have so changed during his incarceration that it is no longer familiar to him. They argue that the use of a transitional facility to allow the released offender to become gradually reconditioned to his community is simply a humane action which should be standard procedure in any civilized society.

The second reason generally given for the use of halfway houses is that successful reintegration of the offender into society can most effectively be accomplished in a realistic community setting. With the use of a transitional facility, the confusion, uncertainty, and stress faced by the released offender can be met gradually, allowing the ex-offender a reasonable period of time to readjust to independent living. The halfway house thus can function as a "decompression chamber" for the recently released ex-offender.

Finally, reintegration within the community can be accomplished at a cost which is less than the cost of incarceration.(3) Cost comparisons should be approached with caution; there are a number of factors which must be considered in performing comparisons of cost among several correctional programs, including a definition of available alternative dispositions, the services being rendered, the length of time spent in alternative programs, and the cost of those programs. When a halfway house is used following parole from an institution, it may be more appropriate to compare the cost of halfway house operation to the cost of parole. However, comparison of halfway house costs and institutional costs is relevant when the halfway house is used *prior* to the granting of parole or after release on parole if the ex-offender would not have received parole without the condition of halfway house residence.

A. Definition

A wide variety of facilities and programs have been thrown together under the rubric of "halfway houses." These facilities range from small correctional institutions located within the community to loosely structured houses which provide minimal support to primarily self-referred clients. The target populations of these facilities also vary considerably. Halfway houses may serve only persons referred from the criminal justice system (through pretrial diversion, probation, prerelease, work or study release, or parole); persons with specific dif-

ficulties, regardless of referral source (such as alcoholism, drug abuse, mental health problems); specific groups (such as delinquent or neglected juveniles), or any combination of these populations. This Program Model will focus on adult residential inmate aftercare programs. *The focal universe, therefore, is defined as all public and private halfway houses which provide residential services to adult offenders as a transitional step between their release from an institution and their return to independent living within the community.* These transition facilities are currently used extensively across the country. Nearly 400 such facilities were found in the United States.(4) Halfway houses are located in almost all of the 50 states. Houses range in capacity from 6 to 140 beds, with the average house having a capacity of 25. Based on this average, a total nationwide capacity of 10,000 beds can be projected. Since the average stay at a halfway house is approximately 12 weeks, it can be estimated that the known facilities in the country have the potential of serving from 30,000 to 40,000 individuals every year.

This focus, however, does not preclude the value of the following discussions and guidelines for halfway houses serving different client populations. A multitude of questions and problems may be encountered in the planning and operation of any halfway house, regardless of its orientation. While this Program Model is designed to meet the needs of administrators of adult residential inmate aftercare facilities, it is hoped that its usefulness will extend to other types of facilities as well.(5)

B. Halfway Houses in the Correctional Process

Within the criminal justice system, halfway houses have been used for several target populations.(6) Mandatory releasees and parolees who are in need of a transitional facility and the services it can offer have been significant target groups. Halfway houses are also frequently used for probationers as an alternative to incarceration. Many houses can now offer study and diagnostic services to aid the courts in their sentencing decisions. Inmates who are released from institutions prior to mandatory release or parole are using halfway houses as prerelease, work release, and educational release centers. Some houses serve neglected juveniles or juveniles adjudged delinquent as alternatives to detention facilities or training schools. Finally, many halfway houses limit their target populations to criminal offenders with special problems, such as drug abusers, alcoholics, and individuals with psychiatric problems.

Within this population categorization, the residential aftercare facility provides supportive services to the released offender. Sullivan *et al.*(7) describe the function of the halfway house as providing a transitional support system for the offender to readjust to the community from prison and, consequently, to avoid recidivism. Pearce(8) shares this view of the halfway house, which he believes should provide a home, assistance in vocational counseling and training, finding a job, financial support, educational and recreational opportunities, psychological and emotional support and counseling, and a supportive environment. For the purposes of our subsequent discussions and guidelines, the functions of the halfway house in the correctional process can be defined as follows: *the halfway house accepts ex-offenders released from prison, provides the basic necessities of room and board, and attempts to determine each individual's reintegrative problems, plan a program to remedy these problems, and provide supportive staff to assist the resident in resolving problems and returning to society as a law-abiding citizen.*(9)

C. The Need for Guidelines

The result of the extraordinary increase in the acceptance of halfway houses has been a remarkable increase in the number of houses established within the past two decades. Many of these houses, however, were not adequately prepared to solve the multitude of problems which arose during their establishment and operation, and were forced to close. In order to help halfway house administrators anticipate and solve these problems, several sets of guidelines and standards for the establishment and operation of halfway houses have been developed.(10)

The guidelines and prescriptive statements in this document focus on the critical issues in halfway house operation and are intended as refinements of the existing guidelines. They have been developed as usable, practical statements which may be employed by the halfway house administrator in selecting the appropriate solutions to problems encountered in the planning, establishment, and operation of the house. These guidelines may provide alternative courses of action and may illustrate the innovative and constructive ways in which other halfway house administrators have solved the problems they have encountered. *This manual, then, is a "how to" guide for halfway house establishment and operation, focusing on the major areas of interest to administrators and embellished with the advice of experienced administrators and researchers.*

D. Sources of Data

The Law Enforcement Assistance Administration (LEAA) recently sponsored a National Evaluation Program study designed to assess the current state of the art

of halfway house programs. This project attempted to assemble what is known about methods, outcomes, and effectiveness of halfway houses. This study, conducted by the Program for the Study of Crime and Delinquency at The Ohio State University, encompassed a review of the literature dealing with adult residential inmate aftercare, a review of available evaluations of halfway house facilities, and a nationwide survey of halfway houses. For the purpose of this study, adult residential inmate aftercare facilities were included if: at least 50 percent of their populations were felony offenders from State or Federal correctional facilities on work-study release, prerelease, or parole status; the residents were allowed freedom of movement beyond their work or educational programs: and clients were required to remain in residence less than 1 year. Questionnaires were completed for 153 facilities which met the survey definition of an adult residential inmate aftercare facility, and 30 of those houses were selected for site visits to provide more detailed data. The data obtained from both the survey instrument and site visit reports were compiled to describe the current dimensions of halfway house operations in the United States.

E. Organization of the Manual

The discussions in this manual have been divided into three major areas. Chapter II examines some critical issues in halfway house establishment and operations: needs assessment, goal-setting, funding, location, programming, administration, evaluation and accreditation. We have combined the critical issues expressed by halfway house administrators with the information available from the National Evaluation Program survey and our site visits to develop generalized prescriptive statements regarding each of these problem areas. Chapter III discusses the need for evaluative research, examines accepted evaluative techniques, presents a model research design which can be implemented by a single halfway house in order to evaluate its operation, and offers suggestions for utilizing evaluation results. Chapter IV discusses some of the innovative programs and planned variations which have been used successfully by experienced halfway house administrators and explores areas in which flexibility and imagination have enhanced the administrator's ability to provide the type of treatment and services required by ex-offenders in returning to community living.

For administrators whose interest or curiosity are piqued by the discussions of critical issues which follow, we have included a Selected Bibliography at the end of the Program Model. The organization of the Bibliography roughly corresponds to the order of presentation of the critical issues. We have tried to limit the bibliographical entries to documents which would be not only conceptually and pragmatically valuable, but also available without undue hardship.

NOTES

1. See, for example: Dean V. Babst and John W. Mannering, "Probation Versus Imprisonment for Similar Types of Offenders: A Comparison by Subsequent Violations," *Journal of Research in Crime and Delinquency*, Vol. 11, No. 2 (1965) pp. 60–71; Walter C. Bailey, Correctional Outcome: An Evaluation of 100 Reports," *Journal of Criminal Law, Criminology, and Police Science*, Vol. 57, No. 2 (June 1966) pp. 153–160; R. G. Hood, "Research on the Effectiveness of Punishment and Treatment," in *Collected Studies in Criminological Research;* Vol. I (Strasbourg: Council of Europe, 1967) pp. 74–86, 89–102; Douglas Lipton, Robert Martinson, and Judith Wilks, *The Effectiveness of Correctional Treatment: A Survey of Treatment Evaluation Studies* (New York: Praeger Publishers, 1975); Robert Martinson, "What Works?—Questions and Answers About Prison Reform," *The Public Interest*, No. 35 (Spring 1974) pp. 22–55; S. Shoham and M. Sandberg, "Suspended Sentences in Israel," *Crime and Delinquency*, Vol. 10 (January 1964) p. 74; R. F. Sparks, "Research on the Use and Effectiveness of Probation, Parole and Measures of After-Care," in *The Practical Organization of Probation and After-Care Services* (Strasbourg: Council of Europe, 1968) pp. 4–11; Leslie T. Wilkins, "A Survey of the Field from the Standpoint of Facts and Figures," in *Effectiveness of Punishment and Other Measures of Treatment* (Strasbourg: Council of Europe, 1967).
2. For a description of the development and operation of halfway houses in the mental health area, see: Harold L. Raush and Charlotte L. Raush, *The Halfway House Movement: A Search for Sanity* (New York: Appleton Century Crofts, 1968).
3. For a discussion of cost comparisons, see: Donald J. Thalheimer, *Cost Analysis of Correctional Standards: Halfway Houses* (Washington, D.C.: American Bar Association, Correctional Economics Center, Standards and Goals Project, 1975). Thalheimer found that it costs $1.07 per day per person less to operate a model halfway house than it does to operate the average jail.
4. Richard P. Seiter, *et al., Residential Inmate Aftercare: The State of the Art*, National Evaluation Program Phase I (Columbus, Ohio: Ohio State University, Program for the Study of Crime and Delinquency, 1976).
5. To illustrate the wide variety of programs which can legitimately be included under the term "halfway house," see the *1975–76 IHHA Directory*, published by the International Halfway House Association National Office, 2525 Victory Parkway, Suite 101, Cincinnati, Ohio 45206.
6. See: John M. McCartt and Thomas J. Mangogna, *Guidelines and Standards for Halfway Houses and Community Treatment Centers* (Washington, D.C.: United States Department of Justice, Law Enforcement Assistance Administration, Technical Assistance Division, 1973), pp. 22–26.
7. Dennis C. Sullivan, Larry J. Siegel, and Todd Clear, "The Halfway House, Ten Years Later: Reappraisal of Correctional Innovation," *Canadian Journal of Criminology and Corrections*,

Vol. 16, No. 2 (April 1974) pp. 188–197.

8. W. H. Pearce, "Reintegration of the Offender into the Community—New Resources and Perspectives," *Canadian Journal of Corrections*, Vol. 12, No. 4 (1970) pp. 466–481.
9. Richard P. Seiter, *et al.*, *Residential Inmate Aftercare: The State of the Art*, ibid., p. 56.
10. See, for example: John M. McCartt and Thomas J. Mangogna, *Guidelines and Standards for Halfway Houses and Community Treatment Centers*, ibid.; National Advisory Commission on Criminal Justice Standards and Goals, *Corrections* (Washington, D.C.: U.S. Government Printing Office, 1973); American Correctional Association, *Manual of Correctional Standards* (College Park, Maryland: American Correctional Association, 1966).

CHAPTER II. CRITICAL ISSUES IN HALFWAY HOUSE OPERATIONS

Planning and preparation for the establishment of a halfway house facility must be undertaken with great care and deliberation. Hastily conceived plans almost invariably result in operations plagued with vexing and tenacious problems, some of which may escalate to the point of jeopardizing the existence of the halfway house. There are a number of issues which appear to be of critical importance to the halfway house administrator, particularly during the preoperational phase of the project. We feel that a good, thorough understanding and appreciation of these problem areas will enable the administrator to avoid some of the more common problems in halfway house operation and to anticipate and minimize others.

In the discussions which follow, we have identified seven areas of halfway house planning and operation which cover most of the common types of problems faced by administrators. Although these problems overlap both the preoperational and operational phases of house establishment, awareness of the issues underlying the problems will be an invaluable asset during the planning process.

The seven issues which will be discussed are: assessment of need and setting of goals and objectives; issues and problems of funding a halfway house; the location and site selection for the house; the administration and organizational structure of the house; the issues involved in house programs and services; the issues of standards for and accreditation of halfway houses; and the issues and problems of program evaluation.

A. Typology

In order to present a clear and useful discussion of the critical issues involved in the establishment and operation of halfway houses, it will be valuable at this point to construct a categorization scheme designed to facilitate the presentation of this material. There are two characteristics of halfway houses which seem to have the greatest effect on the nature of the problems they face: the type of funding and administration used by the house, and the nature of the program which the house offers.

Simplifying matters somewhat, halfway houses can be either primarily private operations, or public agencies. A public halfway house is operated and funded by a federal, state, county, or municipal agency. Private houses may be funded and operated entirely by a private profit or nonprofit organization or may be financially supported to some extent by public revenues.

The type of program offered by the halfway house can be broadly characterized as interventive or supportive.(1) Interventive programs are concerned with "treating" the client's deficiencies of personality and social adjustment through a process of diagnosis, classification and treatment by specialized, professional personnel. Supportive programs emphasize the identification of resources available from other community agencies to meet the needs of the residents.

The two dimensions of public/private houses and supportive/interventive programs are, of course, not intended to represent discrete categories. In reality, most houses will fall at some point along a public/private or supportive/interventive continuum. These distinctions are useful, however, because the nature and extent of many of the problems faced by administrators will depend in large measure upon whether the house is primarily a public supportive house, a public interventive house, a private supportive house, or a private interventive house.

In discussing the critical issues involved in the establishment and operation of halfway houses, this classification scheme will be used when the particular problem under consideration appears to be differentially experienced among the four types of houses.

B. Needs Assessment and Goal Setting

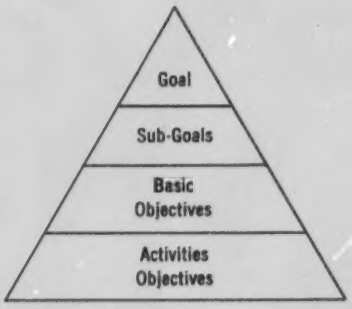
Possibly the most important preoperational tasks that halfway house administrators must perform are the assessment of the need for a halfway house facility and the setting of goals and objectives for the house. In combination, these tasks determine whether the proposed house can be a viable operation, what the target population(s) of that house will be, and what programs and services the house will offer.

The importance of a preliminary needs assessment, particularly for the planning of a private halfway house, cannot be overlooked. For public houses, operated by

government agencies, the problem is not so severe, since the parent agency will already know the extent to which the clients are in need of the services which the proposed house can offer. However, the private agency contemplating the establishment of a halfway house will want to study carefully whether there is an actual need for such a facility before extensive plans are developed. A needs assessment will indicate the potential number of clients within the house's target population who may be available for referral to the house and the types of problems the potential clients may have which can be addressed by house programs. The National Council on Crime and Delinquency has listed six factors which determine the selection of the target population:

- Geographic location should be considered. Only those offenders who are residents of the local area or those who are willing to relocate in the vicinity should be identified as potential participants, if the thrust of the program is to reintegrate the offender in his own community.
- Age should be considered so that program participants are able to take advantage of all of the program components. Thus, offenders within the age range of 17½ to 60 are able to take advantage of almost all educational, vocational, and employment opportunities which could be major program components. Younger offenders cannot be expected to join the work force realistically; older offenders may be too close to retirement age for employment.
- Sex should be considered only from the point of view of having a substantial population to merit having a facility. Either male or female offenders may participate; however, you may include both if you feel that your community would not morally object to a "coeducational" environment.
- Length of sentence should be considered in that you will want the participants' sentencing period to fit the time frame of the program. For instance, those offenders who have minimum sentences of less than 90 days could not take full advantage of a program that involves a 6-month residence.
- Dangerous, hostile, and emotionally disturbed offenders should probably be excluded because the nature of the residential concept implies minimum security. Moreover, you must also be concerned about the safety of the community; you do not want to include any offender who might jeopardize the safety of other participants, the community, or the existence of the program. Remember that you should include only those offenders with whom the program is capable of coping.
- Drug addicted and alcoholic offenders may be included in the program provided you have adequately trained staff to help them cope with these specific problem areas.(2)

Along with an assessment of the need for the halfway house, the administrator must be able to conceptualize and articulate the goals and objectives of the house. Your stated goals and objectives will determine both the content of your house program and the criteria by which the performance of the program can be measured. Since the nature of the components of your program should flow logically from your overall goal, it will be a valuable conceptual aid to think in terms of a hierarchy of objectives. This hierarchy can be illustrated as a four-level pyramid:



The levels are defined as:

Goal—A statement of purpose under which the halfway house operates

Subgoals—Those critical factors required for achieving the stated goal

Basic Objectives—Specific and conceptually measurable objectives related to in-house objectives to be accomplished in light of the house goal

Activities Objectives—Activities designed to accomplish client program objectives.

After a review of relevant literature, discussions with individuals knowledgeable in the field of aftercare, and discussions with halfway house administrators, the NEP Phase I study determined the following broad goal for halfway houses:

> To assist in the reintegration of ex-offenders by increasing their ability to function in a socially acceptable manner and reducing their reliance on criminal behavior.

To accomplish this goal, halfway houses have, in general, adopted three subgoals:

- To provide clients with programs and treatment services directed toward reducing the disadvantages and problems of returning to the community after a period of incarceration.

- To provide a sufficiently secure environment for clients, designed both to safeguard the community by reducing the opportunity for unobserved deviant behavior, and to insure the clients' health and well-being.
- To provide the necessary support for operations of the house, and to allocate resources among house functions in the most efficient manner.

Basic objectives designed to accomplish these subgoals include:

- Program and Treatment Services
  - Employment
  - Education
  - Financial assistance
  - Interpersonal relationships
  - Family assistance/relationships
  - Leisure time activities
  - Improvement of self-image
  - Drug and alcohol abuse treatment
  - Community placement
- Security and Resident Well-Being
  - In-house security
  - Community security
  - Provision of basic needs
- Support for House Operations
  - Funding
  - Administration
  - Physical facility
  - Staffing
  - Community support
  - Community services
  - Program evaluation and modification.

Subsumed under the categories of basic house objectives are the day-to-day activities which are designed to accomplish the basic objectives. There may be several activities which can be performed for each basic objective; the selection of the appropriate activity or activities will depend on the needs of the individual client. The NEP survey of halfway houses found the following types of activities being used to support the house subgoals and basic objectives:

Subgoal: Program and Treatment Services
- *Basic Objective:* Employment
  - *Activity Objectives:*
    - Job Placement
    - Job Counseling
    - Vocational Testing
    - Vocational Training
    - Job Hunting and Retention Skills
- *Basic Objective:* Education
  - *Activity Objectives:*
    - Educational Testing
    - Educational Counseling
    - Placement
    - Basic Skills Education
- *Basic Objective:* Financial Assistance
  - *Activity Objectives:*
    - Encourage or require savings
    - Budgeting Skills
    - Consumer Education
    - Loans
    - Paid In-House Work
- *Basic Objective:* Family Assistance/Relationships
  - *Activity Objectives:*
    - Individual Counseling
    - Group Counseling
    - Parental/Marital Roles and Skills
    - Home Furloughs
- *Basic Objective:* Interpersonal Relationships
  - *Activity Objectives:*
    - Individual Counseling
    - Group Counseling
- *Basic Objective:* Client Self-Image
  - *Activity Objectives:*
    - Individual Counseling
    - Group Counseling
    - Community Service Projects
    - Personal Appearance
    - Medical-Dental Services
- *Basic Objective:* Drug/Alcohol Abuse Treatment
  - *Activity Objectives:*
    - Individual Counseling
    - Group Counseling
    - Community Treatment
    - In-House Urine Testing
    - In-House Antabuse Treatment
- *Basic Objective:* Leisure Time Activities
  - *Activity Objectives:*
    - Individual Counseling
    - Group Counseling
    - In-House Recreational Opportunities
    - Community Recreation Resources
- *Basic Objective:* Community Placement
  - *Activity Objectives:*
    - Employment
    - Housing
    - Coordination of Postrelease Use of Community services

Subgoal: Security and Resident Well-Being
- *Basic Objective:* In-House Security
  - *Activity Objectives:*
    - House Rules of Behavior
    - Night Security and Supervision

Crisis Intervention

Basic Objective: Community Security

Activity Objectives:

Use of Volunteers
Curfews
Log of Residents' Activities
Validation of Residents' Activities

Basic Objective: Provision of Basic Needs

Activity Objectives:

Shelter
Food
Clothing
Transportation

Subgoal: Support for House Operations

Basic Objective: Funding

Activity Objectives:

Grants
Budgets
Liaison with Funding Sources
Internal Financial Control

Basic Objective: Administration

Activity Objectives:

Organizational Structure
Division of Responsibility
Communication Flow

Basic Objective: Physical Facility

Activity Objectives:

Location
Acquisition
Zoning/Licensing Requirements
Renovation
Maintenance

Basic Objective: Staffing

Activity Objectives:

Recruitment/Screening
In-House Training
Outside Training
Personnel Policies
Volunteers
Ex-Offenders

Basic Objective: Community Support

Activity Objectives:

Participation in Community-Sponsored Activities
Meetings with Community Groups
Volunteer Programs
Community Advisory Board

Basic Objective: Community Services

Activity Objectives:

Liaison with Referral Agencies

Basic Objective: Program Evaluation and Modification

Activity Objectives:

Internal/External Research Component
Data Collection
Followup of Residents
Program Modification Procedures

It should be pointed out that such an elaborate hierarchy of objectives may not be required for every halfway house operation. The hierarchy discussed above illustrates the orientation which an interventive house might have; a house with a purely supportive orientation might very well be able to exclude many of the treatment objectives and activities. As an administrator, however, you should consider it absolutely necessary to construct such a hierarchy, regardless of the supportive or interventive orientation.

Another important consideration to keep in mind in articulating the goals and objectives of your halfway house is that the theoretical assumptions which link basic objectives to subgoals and subgoals to an overall goal must be identified. This simply means that you should be able to state why you believe that certain activities and house services can be expected to lead to the accomplishment of the stated goal. For example, the following discussions reveal some of the theoretical assumptions which link the previously-stated subgoals with the overall goal which we identified.

1. *Provision of program services.* The provision of program services is perhaps seen by halfway house managers as their most important contribution. House staff attempt to determine individual client needs and then either utilize community services or develop resources to respond to these needs. The underlying assumption is that by providing these services, clients will leave the house less disadvantaged and more able to meet the demands of living in a complex society. It is assumed that this, in turn, will reduce or eliminate the ex-offender's reliance on criminal behavior.

In assessing the effectiveness of program services in attaining the house purpose, it is important to measure the extent and quality of the provision of services. This measure can best be determined at the basic program objective level. The success of the house in providing services and fulfilling client needs can be determined from the number of program objectives accomplished by each client. Other measures of the quality of services could be client (consumer) surveys, evaluation by outside experts, or assessments by client supervising agents such as parole or probation officers. A discussion of program evaluation is included in Chapter III.

2. *Provision of secure environment.* Although major emphasis is generally placed on program, rather than security elements in the operations of a halfway house, a variety of activities within the house lead to the conclu-

sion that security is not an entirely forgotten variable. In addition, one of the attractive factors used in justifying community-based corrections to the public is the fact that clients reside in a more structured and supervised environment than standard parole, and that this environment offers a "test" of the ex-offender's readiness to return to society.

The assumption linking this subgoal to the house's purpose is that by providing supervision restrictions on clients, both the opportunity and temptation for criminal activity will be lessened, and staff will be able to forsee possible critical incidents and perhaps be able to prevent them. This will ease the client through the initial critical periods which follow release, and allow time for treatment services to take effect.

Achievement of this subgoal is also most appropriately measured in terms of accomplishment of basic objectives. These basic objectives most often focus on the clients' behaviors while in the program, their lack of criminal activities during residency, and the clients' program completion rate.

3. *Provision of house support operations*. This subgoal stresses the importance of efficiency of house operations in accomplishing the house purpose. The general assumption is that an efficiently operated house will be more effective in providing both program services and security activities, which should in turn produce an environment conducive to client reintegration.

Determining house effectiveness in attaining this subgoal also can come from evaluations of basic objectives. The more adequately such objectives as fiscal solvency and utilizing qualified staff are met, the more effectively this subgoal is accomplished.

4. *Systematic planning*. The construction of a hierarchy of objectives, of course, is certainly not a total solution to the management problems faced by administrators. It can, however, be extremely useful in developing structure and organization in many phases of management. O'Leary and Duffee offer this justification for utilizing an objectives hierarchy to systematically structure halfway house program objectives:

> "A stress on goals shifts the focus away from an exclusive concern with the offender and his characteristics toward a view that places him within a correctional system continuously accommodating itself to a large social order."(3)

The efficient management of any social program, such as a halfway house facility, requires systematic planning in which the total problem is analyzed and all alternative solutions are examined. The objectives hierarchy constructed for the halfway house program, combined with systematic planning, can aid the administrator in both the preoperational and operational phases of house establishment. George and Milstead have developed these basic steps for systematic planning:

- Define the problem and the planning task. This includes preliminary research to describe target populations and their needs, and identifying those individuals who will assist in planning.
- Formulate policies on the basis of value analysis of alternative solutions (deciding what ought to be).
- Assess operational resources and constraints, funding, legislative factors, and community preferences.
- Consider priorities, including the extent of funding necessary, and identify what services have to be established to meet program objectives.
- Develop a program structure that includes such activities as administration, manpower assignment, budgeting, and feedback for policy review.
- Establish specific projects with long and short range objectives.
- Design a system of reporting and evaluating, and provide a formal feedback to the planning system.(4)

5. *Goal-setting strategies*. Because program goals and objectives are essential for both the management and evaluation of programs, it is important to know something about the process of establishing your goals and objectives. Warfield has identified three methodologies for setting goals and objectives: individual initiative; committee planning; and management by objectives.(5)

Many criminal justice programs, including halfway houses, use the individual initiative method of goal-setting. Under this strategy, all decisions are referred to one person who, presumably, has determined the goals and objectives of the program and retains the power to make decisions on the basis of those goals and objectives. In halfway house operation, this task frequently falls on the administrator who may then be required to develop program goals without previously prescribed guidelines. Although many capable administrators may set realistic and measurable goals and objectives, problems may still arise if the decisionmaker has not explicitly enunciated those goals to lower level staff. Additionally, house staff may lack a strong commitment to accomplishing goals and objectives which they have had no part in setting.

The committee planning approach is advantageous since it involves individuals throughout the organization. Under this strategy, a group of individuals work together, hold dialogues, read, consult with experts, and finally produce a statement which provides a description of the desired goals and objectives. The outcome of this

process, however, is frequently highly value-laden, and goals and objectives are often vague. Although this approach may be an acceptable way for a board of trustees to develop a philosophy or statement of purpose for a halfway house, operational objectives must be more specific and workable in order to contribute to the overall program philosophy.

Management by objectives is both a philosophy of management and a method for accomplishing the requirements of the organization. Under this goal-setting strategy, explicit objectives are set by the halfway house staff through a formal process. In theory, management by objectives involves a flow of discussion both upward and downward through the structural hierarchy (various levels of the house). This discussion flow allows optimum input by all staff members in the goal-setting process. The management by objective method is advantageous because a large number of individuals participate in setting goals and objectives, and the goals and objectives developed may be more consistent. In addition, the interrelationships among goals, subgoals, and objectives can be articulated and structured to show how the achievement of objectives contributes to the accomplishment of subgoals and goals.

McConkie in a Prescriptive Package, *Management by Objectives: A Corrections Perspective*, has suggested that, since it is always possible to identify many more objectives than one program can meet, it is valuable to group objectives by priority category. He offers the following groupings:

> *The Must-Do Category*, consisting of those objectives which, if left unaccomplished, would cause the death of the organization. These objectives are central to organizational survival; they must be accomplished if the manager, or the organization, is to justify existence.
>
> *The Ought-To-Do Grouping*, containing those objectives which are necessary for improved performance. These are vital to the growth and health of the organization or agency. An agency can exist—but not progress—without meeting them.
>
> *The Nice-To-Do Class*, composed of those objectives which could be postponed or eliminated if necessary. These objectives provide opportunity for new or untried ideas, or for moving to and fro to accommodate political needs within and without the organization.(6)

C. Funding

The provision of adequate funds for the operation of the facility is a challenging objective for most halfway house administrators. Indeed, in a recent survey, funding was cited by halfway house operators as their most severe administrative problem. Most administrators identify the particular problem as insufficient funds to provide necessary or improved services, although other problems mentioned include: the uncertainty of funding by grants, the difficulty in maintaining cash flow, and adjusting programs due to less-than-anticipated grants. Private houses, in particular, suffer from funding problems and report them twice as often as houses operated by state departments of corrections, while federally operated houses report *no* funding problems.(7)

House administrators are required to pursue a number of activities aimed at promoting adequate funding for their facilities. These activities vary among houses, depending on the relationship of the house to its funding source. Houses which operate on grants from public and private agencies must prepare grant applications and supporting documentation, while houses which are public agencies or departments of larger agencies must prepare budgets and documentation. The function of the activity for both types of houses is similar, but the actual process is somewhat different.

Liaison with funding sources is an activity which tends to consume a significant portion of the house director's time. To continue operations, it is important for the house which operates in the private sector to maintain "good" relationships with funding sources. If the house is publicly funded or funded by its major referral source, liaison occurs during the normal course of business. Houses must also maintain contact with potential funding sources if they plan to expand or alter their operations.

Beyond the issue of obtaining funding, funds must be controlled and allocated within the house. Internal financial control activities are required. For houses which have large budgets and diverse operations, these activities can fully occupy several staff members.

Funding activity can be heavily influenced by the nature of the aftercare process. The aftercare process can be supportive and require minimal facilities and few staff, or it can be interventive and treatment oriented, with large staff and extensive facilities. The overall level of funding required, and thus the funding activity, can vary substantially between these two extremes. The opposite situation may also arise, in which the level of available funding influences the aftercare process. Houses may begin operation with a low level of funding and an essentially supportive process and gradually develop a more interventive orientation as more funds become available.

Additionally, situations may occur where the referral source handles a portion of the aftercare process itself, and consequently the house requires less funds. Prerelease and work release centers frequently work with a

single institution which provides all referral and intake services.

The major environmental factor affecting the funding objective is the availability of potential funding sources. This, in turn, is affected by public attitudes toward corrections, the state of the economy, and the relative mix of public and private financing for corrections.

Funding is clearly a most critical function in the operation of a halfway house; thus, the manner in which the administrator addresses funding issues may ultimately determine the success of the house. Funding is a set of activities which have as their goal obtaining resources necessary for the operation of the house program and facility. This goal has both short and long term aspects. Initially, funds must be obtained to begin operations through the acquisition of a facility, staff, and time to plan and develop the program. However, it is also necessary that funding activity be handled so that the funding needs of the house will be met for an intermediate period of 3 to 5 years. Planning for house funding cannot be neglected, since the penalty for such neglect will be an unending series of annual crises.

1. *Public vs. private.* The position of the house on the public/private continuum is an important consideration in planning funding activity. Houses which are in the private sector probably have the advantage of increased funding flexibility. There are a large number of potential funding sources available from which the house can seek funding, although there is likely to be a great deal of competition for each of these sources. The public sector house has the advantage of support from a public body which ultimately has the power to tax individuals. Long term funding stability is at least potentially available in the public sector. This situation is borne out by research which indicates that private houses tend to have diverse funding patterns with multiple sources, while public houses are almost exclusively funded by State Criminal Justice Planning Agency grants or state and local cash.(8)

2. *Funding sources.* The administrator of a private halfway house may look to a number of sources for funding—both public and private. In the public sector, he may look to the Law Enforcement Assistance Administration; the National Institute of Mental Health; the Office of Economic Opportunity; the U.S. Department of Health, Education and Welfare; the U.S. Department of Labor; special titles under the Social Security Act; and State and local governments. In the private sector, there are Community Chest/United Appeal organizations, private foundations, religious and service organizations, local contributions, and fees for service. Donations of items other than money should also not be overlooked. They may have a particularly high value in meeting the physical needs of the house. Volunteer staff can also be an important donation which supplements paid house staff and reduces funding requirements for wages and salaries.

Given the array of funding sources which are available to the administrator, it is necessary that he carefully evaluate the implications of utilizing any particular source. He should consider any limitation or restriction which any funding source may hold for his facility and decide whether he can live with them. This may be particularly critical during the initial funding for a house, when the administrator is striving for a maximum flexibility for future operations. The future funding security of a source is also of critical importance. In particular, if SPA grants are utilized for startup and early operation, plans must be made to replace these funds since certain SPA's have a policy of funding programs for a maximum of 2 to 3 years.

As an indication of which funding sources are currently being utilized, administrators were asked in the recent NEP study to identify the funding sources which they were then using. The most frequently mentioned were: state monies (64%), county and local monies (43%), and private donations (36%). Many houses, of course, use multiple funding sources. Also mentioned were the U.S. Bureau of Prisons, CETA funds, revenue sharing monies, fees from clients, donations from business, and contributions from nonprofit organizations. The most frequently mentioned planned sources for replacing LEAA funds were state monies, private donations, county and local funds, fees from clients, and CETA money.(9)

3. *Proposals.* The identification and evaluation of funding sources is only the first step for the house administrator. He still has to obtain the funds. For the administrator in the public sector, a budget and its supporting documentation will be necessary. For the private house, it is likely that a formal proposal will have to be prepared. In actuality, there is very little difference in the content of a well prepared budget and its accompanying narrative and a formal proposal. The major difference is in format. Since proposals are utilized even within public agencies, particularly for discretionary funds, this discussion focuses on that format.

The task of producing the proposal, i.e., the written document, most often falls to the halfway house administrator, although occasionally where the house is part of a larger agency, the house administrator will only be called upon to provide supporting materials for the agency administrator. In a very general sense, the proposal contains answers to two questions: 1) what is it that you propose to do? and 2) how do you propose to do it? Answering these questions requires the input from a

number of persons and groups; few administrators are equipped to handle the job alone. A successful proposal requires a well thought-out purpose, or goal, which in this case is related to the provision of services to offenders through the halfway house setting. But this alone is not sufficient. There must also be a rationale, a method, a procedure for accomplishing the purpose or goal, and this method must be able to generate demonstrable support. Support has to come from within the administrator's own agency, from the funding agency, and from the community within which the house is, or will be, located. It is important that support for the proposal be garnered early in the funding process, and this is probably most readily accomplished by including these additional persons in the proposal development process. Compromises in the original goal and the methods for achieving it may have to be made to achieve the funding of the program.

The actual format of the proposal depends on the requirements of the funding agency, and every effort should be made to adhere to their requirements. In general, most proposals will contain some of all of the following parts:(10)

Part I—The Prologue-Prefactory Materials
- A. The Cover
- B. The Title Page
- C. The Table of Contents
- D. The Cover Letter
- E. The Letter of Transmittal
- F. The Distribution List
- G. The Face Sheet, or Basic Application Form
- H. The Abstract, Synopsis or Summary Statement
- I. The Overview or Introductory Statement and Background

Part II—The Main Text-Supporting Materials
- A. The Statement of the Problem or Demonstration of Need
- B. The Statement of Goals and Objectives
- C. The Statement of Models, Means and Methods
- D. The Statement of Evaluation: Input and Output Measurements
- E. The Budget and Fiscal Resource Statement
- F. The Statement of Accountability

Part III—The Conclusion-Summarizing Materials
- A. The Review of Recommendations or Propositions
- B. The Summarizing Statement and Future Plans

Part IV—The Epilogue—Supplementary Materials
- A. The Bibliography and References
- B. The Appendix of Supporting Documentation
- C. The Glossary: Terms and Usage

4. *Funding continuity*. Once funding is achieved and the house is operating, funding activity must be maintained. Few facilities are funded for more than 1 year at a time, so contact with the community and the funding agency must be continuous. Consideration of the content of future proposals should not be left until the month preceding the submission deadline. Data which document the current operation must be identified early and maintained routinely because they will serve as valuable support for the next proposal.

The suitability of the current funding source should be continuously reevaluated, and the search for additional sources should continue. Priorities and availability of funds in the field of human service delivery fluctuate rapidly and next year's "guaranteed" funding may suddenly evaporate.

In summary, funding problems are the most severe problems facing halfway house operators, particularly those in the private sector. Secure and adequate funding requires that the administrator locate and evaluate all the funding sources available to him, enlist the support of a wide range of individuals for his program, carefully develop a written proposal for his project and, following successful funding, continually reevaluate his funding sources and activities.

D. Location and Site Selection

The importance of the location of the halfway house in a community setting has been firmly established. Doleschal has said:

> The rationale for the halfway house movement is based on the assumption that the inmate is in need of a gradual re-entry into the community, during which he must learn the responsibilities of community life, and this can come about only by actual residence in a community setting.(11)

The President's Task Force on Corrections has also pointed out the valuable role of community-based centers in the task of the reintegration of the offender. The Task Force Report called for the establishment and extended use of such facilities located in the community.(12) Alper considers it a matter of common sense that, when satisfactory adjustment to society is the goal, the treatment is best "in a setting located within that society, and not in isolation from it."(13)

1. *Community attitude*. Having established the need for the location of the halfway house in the community, the issue then becomes: where in the community should the

halfway house be located? One important factor in determining location is community attitude. In considering the location of the halfway house, the *Manual of Correctional Standards* states: ". . . prevailing community attitudes must be taken into account, but it [the halfway house] should be in as good a neighborhood as community attitudes will permit."(14)

The reason for the concern with community attitudes and reaction is that some halfway houses have been forced either to close and relocate or to relocate before opening at a selected site. A 1970 District of Columbia Department of Corrections study documents such halfway house location difficulties.(15) Neighborhood concerns, as argued by Henderson, include increased danger to persons and property (as reflected by increased area crime rates) and depreciation of real estate values.(16) However, in a California study, these fears were found to be totally unwarranted.(17) Another District of Columbia study also reported no clear evidence of an increase in crime rates or declining property values following the establishment of a halfway house.(18) The fact, however, remains that in the NEP study, 22 percent of the houses surveyed reported that neighborhood problems ranked among their most serious problems.(19)

2. *Type of neighborhood.* Another issue is the type of neighborhood in which the house will be located. Keller and Alper state that the house should be located in a neighborhood similar to the one to which the individual will be returning, so that he can learn to adjust in an adaptive manner to a realistic type of environment.(20) This usually presupposes a low socioeconomic neighborhood; however, a Crofton House study, an Ohio halfway house study, and the *Manual of Correctional Standards* all recommend that the halfway house be located in a middle or working class neighborhood, or in as good a neighborhood as possible.(21)

Another important issue is maintaining the anonymity of the house, which may be due, in part, to apprehensiveness about possible neighborhood reaction. However, it is more important that the halfway house residents be and feel a natural part of the community, rather than being identified and stigmatized as being from a correctional center. Keller and Alper state that: ". . . commercial locations or those undergoing transition or redevelopment, marked by little neighborhood cohesiveness and a resultant anonymity, are favored sites . . ."(22)

Rachin also recommends locations similar to those described by Keller and Alper, but warns against locating in deteriorating neighborhoods. To achieve anonymity and still become a part of the community, he recommends location in a racially, culturally, and economically diverse community.(23) Both the Ohio halfway house study and another Ohio study of reintegration centers recommend location in a neighborhood which will have a similar racial composition as that of the facility.(24)

The remaining issue is defined by the term "accessibility." McCartt and Mangogna, in *Guidelines and Standards for Halfway Houses and Community Treatment Centers*, state:

> The community-based treatment center should be located in an area reasonably close to public transportation, employment and vocational opportunities, medical, psychiatric, recreational and other community resources and agencies to be utilized by the center for its clients.(25)

Being accessible, the halfway house can have a rural, suburban, urban, residential, or commercial setting. But if the house is not conveniently accessible to needed jobs and community agencies, the reintegrative effect will probably be significantly lessened.

In summary, locating the halfway house is an operational issue that can affect the ability of the house to "reintegrate" offenders. Program managers should consider the issues discussed above when planning a facility location and have a knowledge of the demographic and physical attributes of any neighborhood being considered.

3. *Type of facility.* In addition to the issue of the neighborhood in which the house will be located is the necessity of locating a physical facility which will be adequate for the programmatic activities of a halfway house. In smaller communities where adequate facilities may be scarce, the availability of a physical facility may actually override other considerations such as neighborhood. Today, halfway houses are located in every conceivable type of facility, from houses to older hotels and motels. There is little available evidence to indicate that one setting is more likely to be successful than any other, although a structure which was built as a house appears to make the achievement of a homelike setting much less difficult.

If the facility chosen is a house, it will have to be a large one, and thus is likely to be older and in need of major repairs. A host of questions then arise. A frequently asked question is: should the facility be rented or purchased? The ultimate criterion is cost and will pose a situation unique for each house. If a suitable facility and financing can be found, purchasing is probably the wisest choice. Almost any house will have to have considerable renovation, and spending a great deal of money on someone else's property will be risky. Also, you will spend a great deal of time working to have your program accepted in your neighborhood, and a move because of a

lost facility will require that this time be invested again. There are, however, situations where funding is minimal or uncertain, and maintaining flexibility through renting a facility may be the best decision, particularly if a rental agreement with an option to buy can be achieved.

In the NEP survey,(26) only 7 of the 30 site-visited houses were purchased by the administering agency, and they were all operated by private, nonprofit agencies. One house was donated to its agency so long ago that its actual value was unavailable. The mean expenditure for renovation of the remaining six houses was $17,137. Private houses reported spending more money on renovation than public houses. In one case, an agency spent funds to renovate a hotel which it only rented. The mean cost of acquiring a facility in the NEP study sample was $28,970.

Location and site selection are not issues which can be dealt with easily. All aspects of both the community and the planned facility will have to be taken into consideration. The ideal facility may be unavailable, even after community concerns have been dealt with. Some compromises will have to be made, but they must be made with the realization that they will be with the facility for as long as it exists. A great deal of time and effort will be put into "settling into" a particular location, and it is important that this effort does not have to be made very often. Keep in mind, also, the requirements which the type of program you plan to offer may impose on facility selection. Purely supportive programs, which offer little more than room and board to residents, may be able to operate smoothly within a structure which allows minimal resident interaction. However, more interventive houses, which emphasize group and individual counseling, structured group activities and interpersonal skills, will undoubtedly require structures which have, or which can easily be modified to have, common areas such as counseling rooms, group meeting rooms, and resident lounges.

E. Administration and Management

1. *Public vs. private*. One of the first considerations in halfway house administration is whether the house will be public or private. With regard to the effectiveness of the program, it may make very little difference; for example, the National Commission on Criminal Justice Standards and Goals expresses no preference but calls for legislation which authorizes the development of community treatment centers directly through contract with either governmental agencies or private parties.(27) Although proponents of each view may argue the advantages of their respective positions, a statement by the U.S. Bureau of Prisons on this controversy seems reasonable:

> Despite differing views, it probably matters little whether the management of a center (halfway house) falls under the sponsorship of a public or private agency or, in fact, becomes part of the responsibility of a probation, parole, or correctional institution administrator. Of far greater importance are the quality of programs offered, the competence and integrity of the center's staff and the correctional agencies that use the resource.(28)

Administratively, the more important variables in this controversy are the cooperative relationships between the halfway house and other components of the criminal justice system and between the halfway house and community resources. The house, whether public or private, must have a good working relationship with the referring agencies to ensure that both the physical transition and the treatment transition of the releasee to the house are not disjointed and that adequate referrals to justify house operation are forthcoming. In addition, the house needs the support of community agencies, since it is inefficient to have house staff provide all services rather than utilizing community agencies.

Houses which are publicly operated and which have administrative ties with the local correctional system may have significant advantages over private houses in the area of referral agency relationships. Given the halfway house and the correctional facilities which it serves are a part of the same administrative agency; thus a smooth flow of referrals from the inmate facility to the house depends on internal agency coordination. Smooth operation is not guaranteed, but it is at least possible.

Statutory impediments to halfway house referrals are generally not a problem for public houses, although they may be a serious problem for private houses. Publicly operated facilities are "insiders" in the eyes of most potential referral agents. Conversely, privately operated houses are "outsiders" who must aggressively sell their services to potential referral agents to assure an adequate and appropriate flow of referrals. In the final analysis, whether the administrative umbrella is of a public or private nature, however, is not the major issue. It is important to note that halfway house agencies are "big businesses" with limited resources and must maintain efficient managerial operations to accomplish their objectives.

2. *Fitting into the community*. Regardless of whether a house is publicly or privately operated, it will have to find a niche for itself in the larger community within which it is located. This means it will have to develop relationships with agencies which are already in existence. The house will be involved primarily with referral agencies and service agencies. The referral agencies are

likely to be state corrections agencies, boards of parole, probation and parole departments, local jails, county prosecutors and courts. It is critical for the survival of the house that it develop the support of individuals within referral agencies. The initial stages of building this relationship should occur when the plans for establishing the house are being formulated. During the original assessment of need for the house, strong contacts with referral agencies should have been made. Probably the best way to cement relationships with referral agencies is through formal services agreements. It must be remembered, however, that a service agreement or contract will probably be the result of a great deal of hard work and preparation on the part of the house staff.

The initial referrals which a halfway house receives from a referral agent may have to be aggressively recruited. The house director should regularly visit potential referral agents to explain the house program or apprise the agent of any changes in its operation. The house program should be presented in its best light, but promises which cannot be kept must be avoided. The price of failure with an initial referral may be that the initial referral will be the last. In addition, it must be recognized that the first referrals may be real problem cases with whom the referral agent is totally frustrated. There are arguments for and against accepting clients like this. If the house is successful with them, there will likely be more referrals, but, realistically, what are the house's chances of success? In the long run, it may be wise to carefully select the first referrals and not accept just anyone suggested by the referral agency simply because house population is low.

Once a referral agency has become a regular source, there is still the need for close attention by the halfway house staff. Regular meetings between agency and house staff can be used to head off any potential problems and serve as a constant reminder to the agency of the presence of the halfway house and its services. Annual or semiannual luncheons and/or open houses hosted by the halfway house can serve a similar purpose.

Relationships with service agencies are critical to the operation of most halfway houses. Good relationships with agencies which provide a wide variety of services negate the necessity of the halfway house trying to meet all of its clients needs internally. If other agencies can provide some client services, then some degree of in-house programmatic specialization can be achieved. As with referral agencies, formal service agreements with service agencies are a good idea. If it is possible to achieve these agreements early in the process of establishing the halfway house, it should be done to avoid any problems which may arise later on. In some areas, community service agencies have expressed a reluctance to deal with offenders—a situation which can probably be avoided by more careful preparation on the part of the halfway house staff. Service agency support, like the support of referral agencies, is built through contact between the service agency and house staffs.

In addition to agency relationships, the halfway house must deal with a wide variety of individuals, groups, and organizations whose purpose is to provide neither referrals nor assistance. A number of houses handle these community relations by attempting to ensure that the immediate neighborhood remains indifferent to the existence of the house and its programs. This community apathy is often fostered by the house staff in the belief that maintaining a "low profile" is the best method of avoiding complaints and thus proving that the house does not threaten the neighborhood.

On the other hand, many house directors feel that public speaking engagements before civil, social, fraternal and church organizations familiarize the community with the goals of the program and help to enlist their support. Many civic, social, and religious organizations have donated funds and services to halfway houses. A sampling of these agencies include: Jaycees, Chamber of Commerce, VFW, Kiwanis, Red Cross, Lions, Salvation Army, and various church groups.

Some house programs which aid both the community and the client by reducing the stigma of ex-offenders and helping them make the transition to community life include a chaperone program for the elderly, cleanup campaigns, and social events.

Which of these strategies is best probably depends on the individual community, although research indicates that most tend to maintain a "low profile" for their daily operations.(29)

3. *Administrative hierarchy.* Efficient administration requires that houses have a formal organizational structure. For all but the smallest operations, this will entail some type of administrative hierarchy. That is, there will be a division of responsibility among the halfway house staff. For most private houses, this means that the chief executive body will be a Board of Directors whose members will tend to represent the middle class community within which the house is located. The exact role of the board may vary but, in general, it is concerned primarily with providing very general statements of policy in such areas as funding, personnel, services, and referral sources.

Under the Board, there must be a house director who actually administers house operations on a day-to-day basis. The director's task is to implement the general policy statements of the Board of Directors. The house staff, which may include counselors, security personnel, clerical personnel, and housekeeping personnel, then re-

port to the director. Because most houses are small, this administrative hierarchy tends to be flat with few levels. Thus communication between levels can be open and informal, and internal bureaucratic problems can be held to a minimum. Occasionally, however, communication within the house still can be a problem. Individuals who are involved in different disciplines or hold conflicting philosophies find themselves unable to communicate their ideas to each other, let alone resolve conflict.

It is also important to recognize that the differences in authority implied by a formal structure can themselves be the source of intraorganizational strife. Different levels of the organization can also perceive a single situation in strikingly different ways. The Board of directors may view a counselor's reaction to a critical incident with a resident as a serious breach of house policy, while the counselor's peers may view it as a creative solution to a difficult problem. Mechanisms which allow resolution of the problems cited above must be designed into the formal organizational structure or introduced into house operations.

Publicly operated houses also develop administrative hierarchies. Frequently they are extensions of the organizational structure found in the agency of which they are a part. Although they seldom have a Board of Directors, it is likely that there will be an official in the parent agency who performs a policy-making function similar to the Board. The in-house staff will probably be organized in almost the same way as a private house. Interlevel conflicts will tend to arise, but these conflicts will be somewhat mediated by existing policy. Public houses, unlike privately operated houses, tend to inherit a body of administrative policy from the parent agency which can be utilized at least for initial operating purposes.

4. *Staffing*. A key issue for halfway houses is the availability of qualified staff. No program can be better than the staff which implements it. A large organization can work around some staff problems; however, a small halfway house with a limited staff creates a need for a high degree of competence, interdependence, and trust.

The amount and type of staff needed for a halfway house program is dependent on a number of factors: the type and needs of the clients served by the program; the size of the program; the goals and objectives of the program; and the availability of community resources to supplement the program's resources. Once these factors have been identified, the ideal halfway house should utilize a balance of professionals, paraprofessionals, students, volunteers and ex-offenders to fill various positions within the program.(3)

Professional people should fill central roles within a house program (i.e., executive director and treatment personnel), since they bring experience to the program as well as skills obtained through the educational process. The recommended minimum qualifications for professionals in these positions, set by the International Halfway House Association (IHHA), are 4 years of college plus 2 years experience in social service or a Master's Degree.(31) The educational background should also be relevant to the professional's task assignment. The Joint Commission on Correctional Manpower and Training (JCCMT) points out that, at the present time, the majority of professionals employed in the field have degrees that are not relevant to their positions.(32) As a result, there is a critical need to retrain personnel to enable them to perform their duties.

Paraprofessionals should be used to supplement the professional staff. Through adequate training and experience, paraprofessionals can take over many of the day-to-day tasks normally performed by professionals. They may be used to provide links with community resources, be trained to work with special problems, such as drug abuse and alcohol, or facilitate group or individual counseling.(33) The IHHA recommended minimum qualifications for a paraprofessional are one and a half years of college education and one year of experience in the field.(34)

Volunteers in a halfway house provide valuable additional resources to the program. Those who themselves come from poor backgrounds can provide success models for the ex-offenders.(35) Also, since many volunteers come from middle class backgrounds and have community ties, they can facilitate entry into jobs, schooling and other activities that might otherwise be blocked to the ex-offender.(36) It is recommended that volunteers should not be used to replace professionals,(37) but with adequate training should be used in addition to the regular staff.(38)

The use of interns and students in halfway house programs provides a number of benefits. Using students and interns provides an incentive for qualified personnel to enter the field and also provides experience for those who already intend to go into the field.(39)

Ex-offenders can be employed in all levels of program operations. They are valuable because of their knowledge of the problems, and are often more successful in relating to the offender.(40) However, simply being an ex-offender does not qualify a person to run a halfway house program.(41) The Western Behavioral Sciences Institute's study of ex-offender resources in rehabilitative programs has shown that programs staffed entirely by ex-offenders often fail because staff lack financial and administrative skills, and there is a lack of qualified, honest, and dependable leadership.(42)

There is a need for specialized training for all halfway house staff. The IHHA suggests that there are three types

of training necessary for staff. First is the orientation of new staff,

> . . . which is the process by which a new staff member is indoctrinated into the philosophy, objectives and goals of the agency, as well as its techniques, population served, and community resources to be utilized in the client's behalf.(43)

The second form of training is inservice training:

> . . . that process by which a staff member expands and builds upon skills already acquired, or acquires new skills to meet changing needs.(44)

The final form of training is academic training, defined as:

> . . . that process by which the staff member builds upon present knowledge and skills, or acquires new knowledge and skills through formal course work in institutions of higher learning.(45)

Recent studies agree that training of staff is an ongoing process and a necessary part of any correctional program.(46)

A survey conducted as a part of the NEP study indicated that at present 71 percent of the administrators and only 54 percent of the treatment personnel had received college degrees.(47) The fields in which the administrators had received degrees were more relevant to job assignments than the degrees received by treatment personnel.(48) In general, the private nonprofit halfway houses incorporate broader ranges of educational levels for both administrative and treatment staff. Most of the houses reported using volunteers in the capacities generally recommended. Very few of the houses reported using ex-offenders; private nonprofit houses utilize ex-offenders in staff positions more frequently than their public counterparts.

Halfway house administrators cite high staff turnover as a chronic problem. The problem is usually ascribed to low pay levels, few opportunities for advancement, and burnout due to frequent and intensive contact with residents. These problems cannot be entirely solved through careful staffing practices, but they can be significantly mitigated. Some salary problems can be addressed when budgets are developed for grants by giving adequate attention to establishing realistic staff levels and adequate salary and fringe benefit budget categories. Current staff practice is indicated by the results of a late 1975 survey of 153 selected halfway houses which solicited job title, number of staff in each job title, part-time or full-time houses worked per weeks, and actual salary and education of staff.(49)

Respondents report a total of 1,943 full-time staff and 210 part-time staff. The range of full-time staff is 0 to 44, with a mean of 7 (although 44.8 percent employ 4, 5, or 6). The majority of houses report no part-time staff. Of the 47.4 percent with part-time staff, over three-fourths have between 1 and 3 members, although the range is 1 to 10.

Federally operated houses had the highest average number per house of staff (7.5), part-time staff (2.5), and treatment staff (6.9). Corresponding figures for state-operated houses were 7.1, 0.9, and 1.8; for privately operated houses the figures were 6.1, 1.8, and 3.5.

Of the total reported staff, 271 are classified as administrative personnel and 680 as treatment personnel. An overwhelming majority (79.4 percent) of houses report no more than two administrators, although the number of administrators per house ranges from zero to seven. The range for treatment staff is 0 to 40, with a mean of 4. Fifty-seven percent of the houses report having two to five treatment staff.

Table 1 summarizes the data obtained on the item of salaries paid to administrative and treatment staff. While the average salary of an administrator is $12,775, the average salary of a treatment staff member is $9,359.

Table 2 summarizes the data gathered with respect to the educational levels achieved by administrative and treatment staff of participant halfway houses. Whereas 39.1 percent of administrators are reported as having a graduate degree, the corresponding figure for treatment staff is only 15.0 percent.

TABLE 1. *Salary Range Distribution of Administrative and Treatment Staff, by Number and Percent**

	Administrative Personnel		Treatment Personnel	
	No.	%	No.	%
Less than $ 5,000	15	6	52	10
$ 5,000 — $ 7,499	21	9	104	20
$ 7,400 — $ 9,999	31	13	145	28
$10,000 — $12,499	44	18	131	25
$12,500 — $14,999	59	24	46	9
$15,000 — $17,499	32	13	25	5
$17,599 — $19,999	20	8	8	2
More than $20,000	23	9	6	1
Total	245	100	517	100

*Federally operated houses report the highest salaries for both administrative and treatment staff; privately operated houses report the lowest salaries for each category.

TABLE 2. *Educational Level Distribution of Administrative and Treatment Staff, by Number and Percent**

	Administrative		Treatment	
	No.	%	No.	%
Less than high school diploma	5	2	26	4
High school diploma	24	9	133	23
Some college	46	18	107	19
Undergraduate degree	84	32	221	39
Graduate degree	102	39	86	15
Total	261	100	573	100

*Privately operated halfway houses incorporate broader ranges of educational levels for both administrative and treatment staff than do either federal or state houses.

Since budgets limit the number of paid staff which can be hired, the house directors were asked if they utilize volunteers to complement their paid staff. Most (60 percent) of the houses report that they do use volunteers, the number ranging from 1 to 200. However 63 percent report using one to five volunteers to lead group sessions with residents. Volunteers are also used in such other capacities as: fund raising, transporting residents to look for jobs/apartments, evening staff, and organizing community events with the residents. Only 33.8 percent of the directors report using ex-offenders as volunteers although a number of houses also employ ex-offenders as staff members. Private halfway houses use volunteers (and ex-offender volunteers) to a greater extent than do federal and state houses. The above figures are offered not as guidelines, but as an indication of current operational practice.

In addition to adequate numbers of staff and reasonable salary levels, turnover can also be reduced through careful selection of staff. Riley suggests that, "A system of recruitment and selection of competent staff first can be best implemented by careful analysis of each position within the agency and how each relates to the overall objectives of the program. In addition, the staffing policies should result in a staffing pattern which reflects the sex, ethnic background, and experience of the client population being served." (50)

The output of the analysis which Riley suggests should be a set of job descriptions which, if followed, would lead to the accomplishment of the agency's objectives. Recruitment and hiring should be undertaken with these job descriptions in mind. Selection should be based on an individual's possessing the relevant skills and personal attributes necessary to successfully accomplish the job.

If selection and hiring are based on a sound and accurate set of job descriptions then once individuals are within the agency, their performance can be evaluated against the standards in their job descriptions. Promotions and salary increases can be based on job related criteria, and arbitrary decisions can be minimized.

Finally, if possible, the halfway house organization should be designed in a manner which will allow deserving employees opportunity for promotion as well as opportunity for job rotation or expansion. In multihouse agencies, staff should be permitted to change their working environment periodically to minimize burnout effects.

5. *Management of house operations.* The halfway house mortality rate appears to be significant, although no one is sure exactly what it is. During the recent halfway house NEP, 18 percent of the houses on a list prepared from documents 6 months to 1 year old were no longer in operation or could not be located. (51) Some of these failures probably stem from poor initial planning and organization, but it is also likely that a good many agencies fell victim to poor or nonexistent program management. Social service agencies sometimes have a tendency to give all their effort to service delivery while neglecting effective program management. Carefully planned and well funded programs still must be operated on a day-to-day basis.

Management should be looked upon as a process which can be described in terms of several major functions. Although it is convenient to discuss the functions separately, it must be remembered that they occur simultaneously or at least as a part of a process. The four major functions most often cited are planning, organizing, directing, and controlling, with the occasional inclusion of staffing.

Planning is the function of deciding on the goals and objectives of the agency. It includes the development of policies, programs, and procedures for goal achievement. Planning is the process which evaluates alternative methods of goal achievement and settles on a preferred method (plan) to be followed until further evaluation indicates that better alternatives may be available.

Organizing is the function of determining the type of organization required to achieve stated goals. The allocation of tasks and responsibility among the agency staff is a major consideration.

Directing is the function concerned with the persons in the organization. Goal achievement occurs only through human action which must be guided and supervised. Directing involves a coordination of the human activity in the agency toward the agency goals.

Controlling is the function of comparing an agency's present performance to standards and determining whether corrective action must be taken to assure goal achievement. Controlling is a continuous process closely related to planning. Indeed, the frequent need for corrective action may indicate that changes in plans are required.

Staffing is the process of obtaining the human factors necessary for the agency's operation. It includes recruitment, hiring, training, promotion, and discharge, as well as the development of job descriptions and personnel policies.

For the halfway house to survive it is necessary that these functions be efficiently and effectively performed. It is not enough to only handle problems when they arise ("fight fires"). Problems can only be reacted to after they are serious enough to be noticed, but by then it may be too late to avoid serious losses to the agency. The process of management must be consciously performed in a proactive manner. An excellent technique for achieving this is management by objectives (MBO). MBO involves the formal establishment of agency goals and objectives, the setting of individual staff job targets supporting these goals and objectives, and periodic review and evaluation of staff performance related to job targets and the results achieved with regard to the agency's goals and objectives.(52) A description of an operating MBO system utilized by a halfway house agency is included in the innovative programs section of this report (Chapter IV).

F. Programming and Treatment

A major operational issue for halfway houses is the type of treatment services to be provided to resident. The basic objective of most houses is to offer services to assist the offender in his reintegration to society. However, the variations for providing services are many, and could perhaps have differential effects on outcome. Unfortunately, information about what works and with whom is just not yet available. This section is presented with this lack of knowledge in mind. It discusses some critical areas which should be considered by halfway house personnel when they develop or modify the programming and treatment phases of their programs.

1. *Halfway house services*. The rationale for residential inmate aftercare programs is to provide a transitional support system for the offender to readjust to the community from prison and, consequently, avoid recidivism. Pearce supports the above rationale with the statement that ". . . men leaving prison face countless fundamental problems . . . men must be prepared, both materially and emotionally, in order to bridge the gap between life inside and that outside the prison walls."(53) Thus, halfway houses are envisioned by Pearce as providing the following:

- a home
- assistance in vocational counseling/training and finding employment
- financial support
- educational/recreational opportunities
- psychological and emotional support/counseling
- a supportive environment.(54)

Additionally, Pearce identified the importance of some other factors which influence the success of a halfway house:

- a close working relationship between:
  - house staff
  - prisons
  - aftercare agencies
- an understanding by all of the purpose and aims of the house as well as its strengths and weaknesses
- a long enough stay by the resident to insure help from the program
- utilization of local employment facilities by the house to assure regular and satisfying jobs for the residents
- an understanding by each resident of what is expected of him/her
- adequate counseling/casework facilities within the house to ensure growth of resident to full potential
- boundaries and limitations of the house must be clearly defined and the reasons understood and accepted by the residents
- surrounding community should be involved in the program if possible
- the offender must be strongly motivated
- the house should be final phase in a process of social rehabilitation begun inside prison
- the residents "must be accepted back into the community as human beings, not as criminals" and "made to feel that someone cares about their rehabilitation."(55)

Pearce also identifies two other concepts of importance for an effective residential facility, which are often overlooked: a consideration of each resident as a whole personality and a determination of the needs of the offender (particularly, those needs identified by the offender). (56)

2. *Philosophies and models of intervention*. Many different philosophies seem to underlie the operations of present day halfway houses and their programs. Most prevalent among the treatment philosophies are milieu therapy, reality therapy, group therapy and behavior modification. Bailey noted that four premises seem to form the theoretical basis for most correctional treatment programs and that a program usually consists of some combination of these premises. The premises were categorized as follows: the sick premise; the group relations premise; the deficit premise; and the activity prem-

ise.(57) The sick premise is operationalized by therapy; the group relations premise by social status, role, significant associates, group identifications, attitudes and values; the deficit premise by vocational or occupational skills and attitudes; and the activity premise by constructive leisure time activities and recreational programs.

Additionally, three models seem to present themselves as defining the intervention process of halfway houses in the criminal justice system. The first systems model identifies the institution as an effective treatment agent, with the halfway house used primarily for transitional support prior to release to the community. The second model would identify the institution as an effective treatment agent with the halfway house continuing the treatment prior to release into the community. The third model identifies the institution as providing ineffective treatment methods, primarily due to the setting, while the halfway house is seen as an environment which facilitates effective treatment or readjustment to the community. This latter model seems to be used by many researchers and evaluators. These systems models also lend support to a theoretical discussion of the purpose and goals of a halfway house in corrections. Arguments exist for a house to have as its primary function physical support and maintenance only, to aid the ex-offender in readjusting to the community. On the other hand, arguments exist for a house to provide interventive methods of treatment in addition to support in order to effectively assist the ex-offender in readjusting to the community.

3. *Considerations in program design.* The milieu of halfway houses is an important element of programming and treatment. The small and often intimate atmosphere of most houses, which was often a part of the rationale for their establishment, is frequently overlooked in the operation of the house. It is believed that by recreating a supportive, homelike atmosphere, the resident will be able to adjust to the demands of a job and independence. The manner in which this atmosphere is created or not created is therefore important and, even if not recognized as such, the details of the atmosphere apparently affect the residents. Findings from an Ohio study conclude:

> Milieu therapy is designed to make every element of the resident's environment a part of his treatment; to reduce the distinctions between the administrative staff and the treatment staff; to create a supportive, non-authoritarian and non-regimented atmosphere; and to enlist peer influence in the formation of constructive values.(58)

More specific and recognizable program activities are the counseling sessions and supportive services offered by staff. Although houses can focus on different categories of activities, the general thrust is toward meeting the needs of the client. Thus, houses generally focus on a differential treatment model whereby each individual client's needs are assessed and a treatment program outlined to meet these needs.

4. *Needs and resources of the client.* As Yepsen has indicated, the offender and his needs must be given primary consideration with particular emphasis placed upon individualized treatment, social readjustment, the correction of defects, capitalization of assets and retraining of those clients who are nearing release.(59) Ideally, a needs assessment summary should be completed for each offender which includes: what kind of individual the offender really is; how he got the way that he is; what his assets are; what his deficiencies and liabilities are; and how the assets can be capitalized upon, the deficiencies corrected and the needs met.(60)

It is ridiculous to think of utilizing individualized programming without considering the needs of the individual client, but with frequent regularity, fixed program plans and treatment modalities may be imposed on clients under the assumption that they are all alike. This may be particularly true in a house which believes that it is accepting only a restricted population such as drug abusers, alcohol abusers, or mentally deficient clients. The assumption of a homogenous group may not be warranted and, even if it appears to be justified, it should be constantly reassessed.

The classification of offenders on the basis of needs to provide more specifically targeted treatment and programming is a relatively modern development and a continuation of the trend away from the punishment model of corrections.

Classical differential treatment usually involves psychological testing, emphasizing individualized attention, and has been used primarily with juvenile offenders. Basically, this technique attempts "to classify and then match both treatment and offender for the highest probability of success."(61) The basic rationale is that offenders are not all alike, have different needs and will react differently to various treatment programs. The presupposition underlying this approach is that for any type of offender there is one type of treatment which is the most appropriate to the general goal of reducing recidivism.(62)

As a treatment modality, differential treatment has been used most often with juveniles. Recent studies, however, indicate the potential problems involved with its use. For example, Hood and Sparks have outlined some basic criticisms of the approach. They contend that no research has yet produced clear evidence of full interaction between types of treatment and types of offenders. Treatment which may be successful for one type of

offender may be detrimental to another type.(63) Secondly, although some studies report success in the use of differential treatment, an equal number have had negative results.(64) Finally, the authors assert that no definite relationships have yet been established between any type of treatment and any type of offender.(65)

The differential treatment operational in halfway houses differs from that often used with juveniles. The halfway house program focuses on pragmatic aspects of needs and abilities, rather than personality and maturity classification often used with juveniles. The issue that halfway houses must confront is whether to be generalists and accept all categories of offenders or be specialists and focus on providing services to a narrowly-defined group. One argument is that specialized house staff can be more effective with particular categories of clients. Others argue that the purpose of halfway houses should be to accept all categories of offenders, devise appropriate treatment programs for each and locate external agencies to assist with problem resolution.

It appears, then, that the selection of an operating model is a critical issue. "The selection of an operating model . . . will depend upon local demands, available resources, public interest in special categories, and the working relationships that can be effected with other components of the criminal justice system."(66) Nevertheless, there are specific underlying assumptions about the nature of the special versus target population which must be kept in mind.

First of all, it has been noted that some programs offer a wide variety of services designed to meet a broad distribution of needs. These houses admit a more heterogeneous population of residents consisting of both general and special types of offenders. However, problems arise in attempting to keep services offered by these programs consistent with the needs demanded by the type of resident in the house. "It has been argued that in their attempt to meet the general needs of all, the halfway house programs have been remiss in meeting the particular needs of almost everyone."(67)

The alternative of developing a more specific program designed for special populations only, i.e., alcoholics, drug abusers, and the mentally handicapped, also can result in problem situations. One problem is the difficulty in separating the specific problem area from other problems such as employment or self-esteem. Therefore, specialized houses may in actuality become generalized in nature.

Suggestions have been made for an adequate compromise which can be reached between the issue of general versus specific target populations, and thus the assumed underlying issue of general versus special house programming. This compromise centers around the notion of program "flexibility." That is, if a house primarily serves a general population but on occasion wishes to take on residents with specific problems, then it must have the flexibility to effectively meet the varying needs of the resident.

5. *Needs and resources of the house and community.* In addition to evaluating the needs and resources of the individual offender, the halfway house must evaluate its own resources and the community resources which are available to it. Initially, this should be taken into consideration when the choice of an operating model is made; however, it is also necessary to continue to evaluate these resources. House personnel change, budgets change, the availability of community resources change; all these factors can affect the range of programming and treatment options available to the house and individual client. Even the house which strives for program flexibility must recognize that flexibility may mean different things at different times.

The halfway house staff must also recognize the needs of the community which it serves. A community will only allow a community corrections project to survive if the project is perceived as not materially affecting the safety and security of the community's citizens. However, safety and security cannot override programming and treatment objectives. Security and programming objectives must at worst be balanced and at best be supportive of one another. Security can serve a very useful function in the halfway house if it is translated into a technique for assisting the offenders to implement some structure in the unstructured areas of their lives.

6. *Time in the program.* Halfway houses which provide transitional services to offenders on their way back to the community must recognize that time is not on their side. Few clients remain in residence longer than 3 months and many stay an even shorter time. Whether any real change in the offender's attitudes, personality, or behavior can occur in such a limited time is questionable. Only the most immediate of needs can realistically be addressed. Programming or treatment models which require a long period of time to implement or extensive postrelease followup and support should be carefully examined prior to their implementation.

Programs which are adopted for use must be carefully but rapidly planned. If an offender is going to spend 10 weeks at the house, 5 weeks of that time should not be spent developing his program. Conversely, he cannot be allowed to flounder for 5 weeks because of a rapidly formulated, but conceptually inferior program plan. The essence of halfway house programming and treatment is "tempus fugit" (time flies).

Treatment modalities. Halfway houses utilize a variety

of treatment modalities ranging from "whatever works" to transactional analysis programs and highly structured and detailed token economies. At this juncture there is no evidence to indicate that any one treatment modality is the "best". Indeed, if one were designated as "best" it might restrict the creativity of the practitioners in the field and actually retard progress.

There are some points to be made with regard to treatment modalities, however, which should not be overlooked.

- The staff which implement a program should understand the theoretical framework within which they are to work and there should be consensus. This may require additional staff training. It is, for example, not reasonable to expect all staff members to be well versed in as complicated a subject as transactional analysis.
- In addition to the theoretical framework, staff must understand the "nature of man" which is implied by the modality. Who, or what, bears the responsibility for the actions of the offender?
- The offender has to be oriented to the program.
- The treatment must be implemented as consistently as staff training, staff personalities, and other clientele will allow. It will never be possible to discover what elements of the program or indeed which modalities are effective with which offenders if there is no consistency in implementation.
- Treatment modalities should be constantly evaluated for inprogram and postprogram success.

G. Accreditation for Halfway Houses

A major focus of this work has been to demonstrate and emphasize that halfway houses are not homogenous organizations. They vary widely on such dimensions as size, organizational structure, funding sources, programs, types of clientele, and roles in the criminal justice system. Yet, all halfway houses are correctional programs, which ultimately should contribute to the overall goals of the correctional system.

The question then arises about what the goals of corrections are, and how they should be enunciated. Clearly, without some coordination in the goals and the means for achieving them, the rich diversity of corrections in general and halfway houses in particular will lead not to improvement and progress, but to chaos. The recognition of this truism by knowledgeable corrections personnel has helped provide the impetus for an accreditation movement in corrections which is making itself felt, particularly in the halfway house field.

Accreditation is the process of developing standards which are statements of minimum acceptable levels of operation, and systematically applying these standards to correctional agencies, with the ultimate aim being formal recognition for those agencies which meet or exceed standards.(68)

The need for accreditation in corrections was summarized by the Director of the Commission on Accreditation for Corrections:

> There is much interest in the application of standards in corrections by the courts, funding agencies, community leaders and citizens who are demanding more for their correctional dollar. Moreover, the acceptance and application of national standards in corrections can lead to the upgrading of essential services, better overall planning, joint problems identification, coordination of services, possible long-term savings, and a generally more effective criminal justice system. This in turn can lead to greater public safety and public support for continuing improvement of the system.(69)

1. *Development of standards.* The origins of today's standards can be traced to the 1870's when the National Prison Association was formed and adopted a "Declaration of Principles" which defined theoretical standards and goals for corrections.(70) This set of standards and goals was so forward looking that it was substantially re-affirmed in 1930 with only minor changes. Since that time, three organizations have made significant contributions to the accreditation movement. These are the American Bar Association (ABA), the National Advisory Commission on Criminal Justice Standards and Goals (NAC), and the American Correctional Association (ACA).

The National Advisory Commission was established by the administrator of the Law Enforcement Assistance Administration (LEAA) in 1970, and NAC criminal justice standards and goals were first distributed in 1973. The report on corrections was prefaced with the following statement:

> The American correctional system today appears to offer minimum protection for the public and maximum harm to the offender. The system is plainly in need of substantial and rapid change.(71)

The NAC recommended six goals toward which the changes in corrections should be moving. These are:

> Equity and justice in corrections; narrowing of the base of corrections by excluding many juveniles, minor offenders, and socio-medical cases; *shift of correctional emphasis from institutions to community programs;* unification

> of corrections and total system planning; manpower development and greater involvement of the public in corrections. [emphasis added](72)

Several other standard-setting groups have also emphasized the need to utilize community programs. Although the American Bar Association's standards for criminal justice do not specifically cover community-based treatment programs, the ABA does emphasize a need for alternatives to incarceration as well as for institutionally-based reintegration programs.(73) The President's Commission on Law Enforcement and Administration of Justice also suggests that there is a need for development of more extensive community-based programs.

> Graduated release and furlough programs should be expanded. They should be accompanied by guidance and coordinated with community treatment services.(74)

The National Council on Crime and Delinquency (NCCD) also emphasizes the need for development of community programs, and more specifically that such programs should be "expanded and upgraded" to serve more offenders.(75) In a recent policy statement, NCCD calls for a halt to the building of new detention or penal institutions until ". . . the maximum funding, staffing, and utilization of non-institutional correction has been attained."(76) The Advisory Commission on Intergovernmental Relations concludes that community-based facilities can be more effective in reintegrating the offender into the community (Recommendation 33).(77) The National Association of Counties, in the American County Platform, suggests:

> States and counties should place increased emphasis on correctional programs within local communities aimed at flexible treatment programs including the provision of job training, educational and counseling services.(78)

The development of specific standards and goals for halfway houses began about a hundred years after the development of those directed toward the entire correctional system. As many groups and individuals, some with little or no knowledge of the reintegrative needs of the ex-offender, began to establish halfway house programs, the need for specific standards intensified. The most comprehensive recommendations for guidelines and standards for halfway houses were developed by the International Halfway House Association (IHHA).(79) These guidelines are aimed at the development of effective programs and the promotion of the IHHA goal of accreditation of halfway houses.

The standards developed by the IHHA are divided into three categories: administration, program, and personnel. Administration standards involve making the program a legal entity and establishing operational policies. Program standards include requirements for the physical facility with respect to size, compliance with governmental regulations, location, and space requirements for program activities. The program should include educational, vocational counseling, and recreational opportunities. It is also recommended that the offender participate in all decisions about his own reintegration program and that the individual be apprised of all decisions and evaluations made about him while he is in the program. Personnel standards cover staff qualifications, salaries and benefits, and job performance assessment. It is recommended that consideration be given to hiring paraprofessionals and ex-offenders.

The NAC, emphasizing the need to develop community-based correctional facilities, also designed guidelines for the establishment and implementation of community facilities. NAC guidelines are similar to those of the IHHA, and assert that the main limitation on the flexibility of a halfway house is the availability of community resources. Guidelines state that legislation for halfway houses should authorize the house to use any available resources that would help the reintegrative process of the offender.(80) Furlough programs for both work and family visitation are seen as important, because they provide the offender the opportunity to find a job as well as to become reacquainted with his family.(81)

The American Correctional Association has developed guidelines for the area of community programs as well. The ACA Declaration of Principles states:

> Community-based correctional programs are essential elements in the continuum of services required to assure the reintegration of the offender into the society. Probation, parole, residential treatment centers and other forms of conditional freedom such as work and study furlough programs provide important and necessary alternatives to imprisonment.(82)

The ACA states that community correctional programs should be maintained at a high level of professional quality, that both volunteers and professionals should participate in such programs, and that all program records should be kept confidential. The ACA further cites nine specific elements that the community correctional center should have:

- Physical structure—a physical structure of adequate size and arrangement and in a proper location must be provided to house the programs of the center.
- Staff—a trained staff in adequate numbers must be available to operate the programs of the center.

- Financing—adequate funds must be available to operate the programs of the center.
- Community support—citizens of the community should participate in the programs of the center.
- Employment—assistance should be provided by the center, and the parole services, to the parolees housed at the center.
- Program—a diversified system of control-treatment programs should be offered. These should include: a general philosophy of rehabilitation and socialization, both aimed at public safety as well as correction. This philosophy should include consideration of intake criteria (including whether there is voluntary or mandatory referral, the community views of the institution, and length of stay for each client), readmission, house rules, size (number of clients served and general conditions of the facility), and activities of the house (developed to facilitate the re-entry of the offender into the community).
- Community and agency relationships—a cooperative relationship with community and its agencies must be developed.
- Research—a program of research should be conducted to measure program effectiveness.
- Medical-dental services—the center must develop and make available to the residents these services.(83)

2. *Proposed standards for accreditation.* A new set of standards which will cover all forms of residential/transitional services for adult offenders is currently being developed. This is being accomplished through a subcommittee of the Commission on Accreditation for Corrections.(84) The exact availability date for these standards is still uncertain; however, there are some specific areas in which standards will be promulgated which halfway house personnel should note.

The new standards can be expected to cover at least eleven areas of concern:

Administration. The standards will most likely address the manner in which the house is established, particularly its legal foundation. Attention may be given to the manner in which the halfway house is organized to assure that staff have a clear idea of the division of authority and responsibility. Methods of policy development and dissemination may also be covered.

Fiscal management. Standards may be issued for budget preparation and budget revision. Some method of controlling and auditing receipts and disbursements will probably be required. Standards which will cover insurance of agency assets, inventory control and purchasing policies and procedures are also likely.

Communication and coordination. Standards in this area may suggest programs to provide public information and education, the documentation of relationships with other criminal justice and service agencies, and regular participation in professional associations.

Personnel. Standards covering personnel are likely to address the necessity for written personnel policies and procedures and the general areas to be covered by such policies. Standards for job descriptions and qualifications may be included, as well as standards for affirmative action programs and their documentation. Unreasonable restrictions on employment on account of sex or criminal record will be discouraged. Controlling the contents of personnel files may be discussed, as well as promotion procedures, training and orientation of new employees.

Facility. The facility will be required to conform to all applicable laws, codes, and zoning ordinances and the agency will be required to document compliance, as well as compliance with health, sanitation, and fire codes. Living spaces will be required to be well lighted and of adequate area to handle the house population. Emergency plans will have to be developed and tested, and staff will have to be prepared to administer them. Specific suggestions on type of living space and facility size may be offered. Finally, resident access to transportation may be covered.

Intake. Basic intake information which is required of all residents will probably be listed. Requirements that referring agencies be kept informed of current intake policies may be included. Stress is likely to be placed on the notion that potential residents should be well informed of program goals, content, and potential sanctions prior to their agreeing to enter the program.

Program. At minimum, it will probably be recommended that any halfway house program provide the following:

- Supervision in the community
- Shelter
- Food service
- Emergency financial assistance
- Individual counseling

In addition, programs should provide or make referrals to the following services:

- Medical
- Mental health services
- Vocational evaluations and training
- Employment counseling and placement
- Academic upgrading services
- Group counseling
- Vocational counseling
- Employment counseling

Standards may also address the desirability of individualized programming and the documentation of pro-

gram content and progress. Full time (24 hour per day) staffing is likely to be stressed. Finally, written procedures for resident grievances may be required.

Client records. Certain minimal information requirements for each resident are likely to be established, as well as appropriate safeguards for accuracy and confidentiality of this information.

Food service. It is likely that programs will be required to demonstrate that the food service provided for residents meets established nutrition, safety, and health requirements. Standards will probably cover adequate training for persons involved in food preparation and minimal supervision for the food facility.

Medical care and health services. Standards will require that staff members be trained in first aid and be available with the proper emergency equipment at all times. If more than first aid is required, backup arrangements with physicians, clinics or hospitals must be available. Policies which see that medications are strictly controlled within the house may be suggested.

Evaluation. Standards may suggest that all facilities should develop information systems to provide decisionmaking and policy statement data. These data are used to assure that the halfway house is meeting its goals and objectives and also used, when appropriate, to support evaluation efforts of other agencies.

The final form and the specifics of the standards mentioned above have not yet been released. The suggestions offered here should be taken as no more than suggestions of the areas which will be covered. It is reasonable to assume, however, that this set of standards when issued will become the most widely recognized set of standards for halfway house operations.

All of the standards which have been cited are recommendations; no mandatory guidelines have yet been adopted. To a great extent the accreditation process will be a voluntary process. However, a few states have developed or implemented specific standards for halfway houses. Some of these states require houses to meet prescribed standards prior to referral of residents to the facility. There also is an accreditation effort in process that would require all halfway houses to meet specific standards before any correctional department would make referrals to that house. It appears that the trend has been established, and standardization and accreditation will become an important part of halfway house operations. Individuals and organizations who are planning to establish halfway houses should initially design their programs to meet as many standards as possible so that accreditation will require only "business as usual."

H. Evaluation

The area of program evaluation is of growing importance to administrators throughout the criminal justice system. Evaluation is no longer seen as a purely academic or scholarly pursuit, but rather as an integral, ongoing process not separated from other program processes. Neither is evaluative research viewed as a mysterious, complex function generating unintelligible or unusable results. Administrators are realizing that program evaluation can be performed in-house in a routine and unobtrusive manner and can generate a wealth of valuable and useful information.

Program evaluation can be performed by the house staff, or by outside consultants, and there are, of course, advantages and disadvantages to both of these methods. By having an in-house evaluation capability, the administrator can rely on continuous, long term program monitoring and evaluation by staff members who have a thorough, intimate understanding of house programs and processes. The advantages of in-house evaluation may be tempered somewhat by the potential bias of staff members or their lack of experience and training in evaluation techniques. The use of outside consultants may provide methodological and statistical sophistication in evaluation and may eliminate the problem of potential bias, but will probably sacrifice intimate knowledge of program processes and the capability of performing continuous evaluation over extended periods of time.

Ideally, an evaluation component would be built into the organizational structure when the halfway house is still in the planning stage. Then, with a good understanding of the critical issues of evaluation, the administrator can anticipate future evaluation problems and can develop and establish built-in procedures which will minimize or eliminate the problems. The ideal evaluation component might utilize an in-house data collection system for continuous feedback and outside consultants for in-depth analysis of special issues.

The following discussion addresses many issues in evaluative research and is designed primarily as an aid for the administrator who plans to conduct in-house evaluation. Its value, however, should extend to administrators who intend to employ outside evaluation consultants. Although these issues will then be the concern of the consultants, familiarity with the techniques and problems of evaluative research will permit the administrator to function as an active and productive participant in the evaluation process.

1. *Uses of evaluation*. There are three major reasons why we believe that program evaluation should be an integral component in halfway house organization and operation: program legitimation, policymaking, and program alteration. Virtually all administrators, whether operating public or private halfway houses, will face the problems of justifying the existence of their programs or

of making or changing policy decisions about program content or administration.

Program legitimation can be particularly important in the question of continued funding for the halfway house. Although funding problems tend to be most troublesome for private houses, public houses have also been faced with the uncertainties of future funding. Bradley has said that, ". . . correctional programs seem to survive or die by default. Seldom do we hear of a program which was continued because careful evaluation found it to be strongly supportive of correctional goals. Almost unheard of is the program which was abandoned because careful followup indicated it was clearly non-supportive of correctional goals."(85) Bradley's point, of course, is not that careful evaluation research is frequently performed but not utilized for program legitimation, but that such research is essential for a rational determination of legitimacy. This is particularly important when decisions about program establishment or continuation are made outside of the halfway house staff. Many houses, most frequently those operated by public agencies or those receiving significant amounts of public financial support, will find themselves in the position of having to justify the legitimacy of their existence. Thus, there can be many outside "markets" for evaluation research, including federal, state, or local correctional administrators, state planning agencies, legislators, private charitable organizations, etc. It would be well for the administrator to keep these potential markets in mind when planning the house evaluation component.

Policymaking has been identified as the second reason for performing program evaluation. Ideally, policy decisions concerning the goals and objectives chosen for your halfway house should be based on the conclusions arrived at in previous evaluative research conducted by other halfway house administrators. In this way, your program efforts would not need to be created *de novo*, but could be built upon the accumulated experience and wisdom of other practitioners.

The situation described above is, of course, an ideal one. In reality, you may very well find it necessary to set your program goals without being able to take advantage of previous research findings. Evaluation of your own program, however, can be an invaluable "fine-tuning" device which can reveal program shortcomings and areas in which programs can be modified or improved. You may find from the results of your evaluation that the overall goal and subgoals of your house do not need to be changed, but that modifications in your basic objectives must be made. Program evaluation thus can direct fine-tuning efforts in those program areas in which flexibility is possible. This type of evaluation has an eminently practical orientation. Wilkins has labeled this strategy as a "decision process model" which has the advantage of directly linking research strategy to social action.(86) This model states: given that we have specific objectives we want to attain, given that we have an available quantity of information, and given that we have room to maneuver, then what decision, in light of the information we have, will be most likely to maximize the probability of attaining our specific objectives? As an administrator, evaluative research will probably prove most useful to you in this type of situation, which requires an informed decision about program modification and/or improvement.

2. *What to evaluate.* Having decided that evaluative research will be a worthwhile endeavor, the administrator will need to determine exactly what will be evaluated. This will depend on what information the administrator needs and the complexity of the research design to be used. Suchman has developed a hierarchy of evaluative research which is based on the complexity of the measurement criteria. His five categories are described as follows:(87)

- At the most primitive level of evaluation, one merely measures *effort*. These measurements are made in terms of cost, time, and types of personnel employed in the project studies. Information of this kind is essential to the study of a program's economics, but tells us nothing about its usefulness. . . . This kind of study is not without value to the policymaker. He may not know what the program contributes to achievement of his goals, but he will have a rough idea of whether he can afford it.
- The second evaluation level is the measurement of *performance*. The question here is whether the immediate goals of the program are achieved. . . . The significance of this simple level of evaluation should not be overlooked. Too many correctional administrators are unable to say how their programs are operating at this basic level. Obviously no highly specialized research apparatus is necessary for this kind of evaluation. Such a comparison can be maintained by the correctional information system.
- At the third evaluation level, the *adequacy of performance* is determined. This step begins determination of the program's value for offenders exposed to it. . . . Until integration of information systems is much improved from current practice, individual followup of some kind will be necessary to deliver this level of assessment. The conceptual basis for this research is clear, but few such evaluations of correctional programs have been accomplished.
- The objective at the fourth evaluation level is determination of *efficiency*. This is the level of assess-

ment that characterizes most evaluative research in corrections. Unfortunately, a shortcut methodology omitting the study of effort and performance has been achieved, thereby reducing the value of the conclusions made. Assuming that effort and performance are documented, much can be learned about whether programs have definable value compared with other programs administered to comparable groups.

- Finally, the most elaborate form for evaluative research will include the study of *process*. A research design directed at the links between processes and results will also provide assessment of performance adequacy and efficiency. The purpose is to find out the relative contributions of processes to goal achievement. Although such a study ordinarily will be initiated to settle administrative issues, this kind of analysis often will produce findings of scientific significance. There are four main dimensions of study with which process analysis usually must be concerned: attributes of the program related to success or failure, recipients of the program who are more or less benefited, conditions affecting program delivery, and effects produced by the program.

3. *Research design*. The decision to conduct or participate in research to evaluate the performance of the halfway house program requires a simultaneous decision regarding the research design which will be used. Administrators who will be conducting their own evaluations must be aware of the implications and requirements of the selected design and also must be sufficiently familiar with the design to ensure that the design is properly implemented. Those administrators whose programs will be evaluated by outside agencies or consultants do not need to possess such an extensive knowledge of the design implementation procedures; however, in order to participate meaningfully in the research, they must also appreciate the implications and requirements of the design.

Halfway house administrators will generally be concerned with four basic types of research designs. These designs are the experimental design, the quasi-experimental design, the nonexperimental design, and the cost analysis design. We will discuss briefly the requirements of each of these design models and will assess the advantages and disadvantages of each.

a. *Experimental design*. The classic design for evaluation is the true experimental design, a model which uses an experimental group and a control group, both randomly selected from the target population. Weiss states, "The essential requirement for the true experiment is the randomized assignment of people to programs."(88) By utilizing random assignment of people to both the experimental and control groups, one can assume that any uncontrolled variables will affect both groups equally, and any difference in outcome can therefore be attributed to the experimental variable.

The true experimental design is the most powerful in producing valid results, but there are several problems inherent in the utilization of such a design for analysis of social programs. Weiss discusses several possible problems in attempting to utilize true experimental designs:

- There may be absolutely no extra people to serve as controls; the program serves everybody eligible and interested.
- Practitioners generally want to assign people to treatment based on their need, as judged by the practitioners' professional knowledge and experience.
- On occasion, control groups become contaminated because the members associate with people in the experimental program and learn what they have been doing. Controls may also be provided the same type treatment by other agencies.(89)

Guba and Stufflebeam also find fault with the experimental model because:

- It requires holding the program constant rather than facilitating its continual improvement.
- It is useful for making decisions only after a project has run a full cycle and not during its planning and implementation.
- It tries to control too many conditions, making the program so aseptic that it is ungeneralizable to the real world.(90)

Glaser noted that another problem with true experimental designs (and a major source of resistance to controlled experimentation in correctional programs) is that ". . . the treatment to be tested, if more lenient than traditional practice, appears to endanger the public or to conflict with governmental goals other than changing those adjudged deviant."(91)

For the administrator, there appear to be two major drawbacks to using a true experimental design. The first is the practitioner's emphasis on nonrandom assignment. Assignment to treatment programs is generally made on the basis of client need, and ethical considerations can arise when potentially beneficial treatment is withheld from needy clients. The second drawback is the requirement of a randomly-selected control group. In addition to the previously-mentioned problem that the program may actually accept all those individuals who are eligible and interested in the program, privately-operated halfway houses may not have access to the rec-

ords and followup data of individuals who have not participated in their programs and thus cannot generate a control group against which to compare the performance of their own clients.

b. *Quasi-Experimental design.* When conditions prohibit the use of a true experimental design, quasi-experimental designs can be utilized. Quasi-experimental designs do not satisfy the strict methodological requirements of the experimental design but can be quite useful and powerful when the researcher is aware of the specific variables for which the chosen design does not control. Weiss contends:

> Quasi-experiments have the advantage of being practical when conditions prevent true experimentation. But they are in no sense just sloppy experiments. They have form and logic of their own. Recognizing in advance what they do and do not control, and the misrepresentation of results that are possible, allows the evaluator to draw conclusions carefully. Quasi-experiments, in their terms, require the same rigor as do experimental designs.(92)

The basic difference between a quasi-experimental design and a true experimental design is that the quasi-experimental design does not require random assignment of individuals to experimental and control groups. Instead, those individuals receiving treatment are compared to a group of individuals who possess characteristics similar to those possessed by members of the experimental group. Nonrandomized controls are generally referred to as "comparison groups."

Evaluators may use various procedures in attempting to select comparison groups that are as similar as possible to the experimental group. Quite often, evaluators attempt to develop a comparison group by matching procedures, either pairing individual members of the experimental and comparison groups on selected characteristics, or matching the entire experimental group to a similar group based on the same selection factors or parameters.

There are, however, several possible problems associated with matching groups for evaluative purposes. It is difficult to select the most relevant characteristics on which to match subjects. In correctional philosophy, there is little consensus on the most important factors which relate to outcome. Since matching factors vary in importance from case to case, it is difficult to select the most relevant factors. It may also be difficult to match individuals on several dimensions. Individual cases may thus be eliminated from the experimental group due to the inability to match when several matching factors are required.

An alternative to matching is the use of predictive methods to develop comparable groups. Although prediction methods in criminal justice are generally used in selection and placement, several authors have noted that they may be most useful in the evaluation of treatment programs.(93) Rather than developing similar comparison groups, the evaluator uses prediction methods to provide a measure of expected performance based on the individual characteristics of the experimental group, and compares "actual" to "expected" outcome.

Prediction models are based on the theory that by studying such parameters as demographic variables, previous offense records, test scores, or previous experiences, an individual's future behavior can be predicted. Comparisons of expected performance with actual performance allow a measurement of success for the experimental group.

The use of prediction as an evaluative tool is not an attempt to predict a single individual's behavior, but rather to determine a group's expected behavior for comparative purposes.

Adams notes, in his Prescriptive Package *Evaluative Research in Corrections: A Practical Guide*, several reasons for utilizing the quasi-experimental design:

- The controlled experiment, which randomizes treatment eligible subjects into experimental and control groups, is frequently objected to on ethical grounds . . . . If the administrator is persistently opposed to "denial of treatment," . . . the quasi-experiment is a feasible alternative method of measurement since its "controls" would not otherwise have gone into treatment.
- Many correctional or criminal justice processes are quite complex, and the randomization of cases into treatment and control statuses is often impossible in a way that will insure comparability.
- A true experiment may be impossible because the treatment program to be evaluated is no longer in existence.
- The quasi-experiment can reduce drastically the time required to make valid comparisons in situations where there are accessible and valuable data. When urgent decisions are required, this characteristic of the quasi-experiment is highly valuable.(94)

c. *Nonexperimental design.* Nonexperimental studies offer descriptions of programs as they exist and may include some form of performance comparison. Types of nonexperimental studies include the case study, the survey, the time series, the cohort analysis, and the before/after study. Adams notes that nonexperimental designs are disadvantageous because the experience and objectivity of the researcher tend to de-

termine the value of the study, because procedures are not standardized, reliability is not certain, and interpretation may be difficult. However, he also points out that nonexperimental studies may have certain advantages:

- They can be applied to poorly understood problems in ambiguous contexts.
- They are more suited to executive decisionmaking styles and tempos, and their versatility may prove valuable in a variety of problem-posing situations.
- They are usually quick of execution and generally inexpensive as compared with experiments.
- They pose less of a threat or burden to operating staff, and they facilitate communication with practitioners since the concepts, techniques and manner of reporting are closer to common experience.(95)

d. *Cost analyses*. Good evaluations will address all facets of program operations. However, the NEP evaluation review points to one salient fact: most halfway house evaluations address primarily two major issues. First, we find evaluations of the impact of the intervention (treatment) modality, and second, evaluations are conducted specifically to assess the costs of the program. The emphasis on this second aspect of evaluation is so strong that often it is viewed as an *alternative* to overall evaluation, rather than only one aspect of a total evaluation effort.

Adams has identified three types of cost studies which may be applied to correctional programs: cost analyses, cost comparisons, and cost-benefit comparisons.(96) Cost analyses measure the actual operating costs of specific services and processes by assigning a cost figure to each unit of action and service and totaling the costs. Cost comparisons are used to illustrate the cost differences between two or more programs. Cost-benefit comparisons take into account the benefits (other than cost reduction) of specific programs as well as the costs of the programs.

Matthews *et al.* recommend the unit cost approach in the computation of operating costs:

> Each client should be followed through his particular treatment program, accumulating costs for services rendered. Each program should be analyzed to determine what services were performed and what the unit cost of performing these services should be.
>
> . . . The cost analysis of a treatment program then should include the division of each treatment into a combination of service functions, the determination of the resource inputs to each service function, and an estimation of the unit cost of each service. Each service function, e.g., vocational guidance, psychiatric counseling, and subsistence, would be characterized as a separate cost center. Clients using the services would be assigned user costs commensurate with the level of services provided. These costs would be accumulative to the client throughout the treatment. General costs transcending several service functions would be allocated to each cost center on the most equitable basis.(97)

The major problem encountered in cost-benefit analysis has been the difficulty of quantifying in monetary values the impact of a specific treatment program. This quantification is necessary in order to provide a common yardstick with which to assess the net difference between the costs and the benefits of a given program and the differences in costs and benefits among alternative programs.

Ideally, cost-benefit evaluations must extract the costs incurred in program operation and compare them with the benefits realized. An attempt to explicate the various costs incurred by halfway houses is found in the American Bar Association report, which suggests the following costs:

- Criminal justice system costs. These costs include operational and service provision costs of apprehending and/or prosecuting clients who abscond or commit new crimes during residence, and costs of other criminal justice activities providing services of clients of halfway houses.
- Costs internal to the criminal justice system, borne by individuals or groups providing services to halfway house clients.
- Opportunity costs incurred by clients of halfway houses. These opportunity costs are associated with the employment opportunities and leisure opportunities which are foregone by the resident as a result of halfway house limitations on client mobility.
- Costs to the community in which the halfway house is located. There are three types of alleged costs to the community: the tax loss associated with property operated by nonprofit or governmental agencies, a decline in property values in the neighborhood in which a house is located, and the costs of new crimes committed by clients of a house.(98)

While it is possible for the administrator to construct an estimate of the costs incurred in program operation, it may be extremely difficult, if not impossible, to translate benefits received from the program into monetary values. Another type of costs analysis which avoids the requirement of quantifying benefits is the cost-effectiveness

analysis. This analysis is theoretically related to the cost-benefit analysis but requires only a measurement of the impact of a given treatment strategy without assigning a monetary value to that impact. Levin notes that:

> "Because social experimentation enables us to obtain information on the impacts of alternative treatments or programs, data on effectiveness are easier to provide. That is, the results of policy-oriented experiments or quasi-experiments lend themselves naturally to cost-effectiveness comparisons. To the degree that the effects can also be translated later into monetary values, a cost-benefit framework can be applied at a second stage. Thus, the use of the cost-effectiveness approach does permit one to do a cost-benefit analysis as well, whenever the physical or psychological outcomes can be converted into monetary measures." (99)

Matthews *et al.* explain the two types of analytical approaches which are most commonly used in cost-effectiveness analysis: the fixed cost approach and the fixed effectiveness approach.

> In the *fixed cost* approach, the attempt is to maximize the program effectiveness for a given cost. This is the most common approach for government services in which the budget is fixed, and the objective is to accomplish the most good with the available funds. In the *fixed effectiveness* approach, the intent is to minimize the cost to achieve a given level of effectiveness. This approach is commonly applied to many projects and programs in which definite goals are set.(100)

4. *Measurement of goal achievement.* Within the framework of goals and objectives discussed above, the important measurement is designed to test the assumption that provision of the three proposed subgoals will accomplish the purpose of the halfway house. This test must, of course, be completed under a controlled evaluative design, utilizing control and experimental groups and conducting a followup of outcome behavior after release from the house to the community. Obtaining a sufficiently rigorous evaluative design is not difficult if well-documented techniques such as we have presented above are followed. The critical issue here is the design of appropriate measures of outcome. *Program effectiveness should be judged through a measurement of the ability of the program to accomplish its prescribed purpose.* Simon contends that to measure organizational effectiveness, it is essential to look at the set of goals.(101) An LEAA-funded review of guidelines and standards for halfway houses concluded:

> Evaluation must measure the outcome of the program and services in relation to the agency's stated purposes and goals.(102)

In the selection of outcome measures to test program effectiveness, several factors should be considered. Glaser notes that:

> No definition of success can be useful unless methods of measuring its attainment are sufficiently precise, valid, and reliable to warrant confidence that they improve the quality of knowledge available for guiding policymakers.(103)

Throughout the last 50 years in corrections, evaluators have relied on and principally utilized recidivism rates to measure the success of a program. Recidivism is usually measured in terms of re-arrest, reconviction, or reimprisonment. Evaluations of correctional programs utilizing these indicators as measures of recidivism have failed to conclusively identify effective prison programs.(104) Furthermore, community-based correctional programs also have yet to be shown to be an effective alternative.

There are several deficiencies in the use of recidivism as the single measure of the effectiveness of a halfway house. Perhaps the most serious problem in the use of recidivism as an outcome measure is the forced dichotomous choice; recidivism generally classifies each offender as either a "success" or a "failure," rather than grading each on a continuous scale to measure "progress." Glaser emphasizes this point:

> Any measure of the success of a people-changing effort which fails to take into account variations in the degree to which a goal has been obtained, and instead classifies all the research subjects as either successes or failures, is thereby limited in its sensitivity as an index of variations in the effectiveness of alternative programs and policies.(105)

Because it seems reasonable that people-changing programs cannot substantially change people within a relatively short period of time, the development of more sensitive outcome measures is critical.

Correctional philosophy (especially apparent in halfway houses) appears to be shifting from the rehabilitative model to the reintegrative model. O'Leary and Duffee have summarized four models of correctional policy:

The rehabilitative model emphasizes supportive control and punishment as therapy; the atmosphere sought approaches that of a hospital. Diagnosis and treatment are part of the vocabulary used in labeling the offender as "sick" rather than "criminal." After treatment, the of-

		EMPHASIS ON THE COMMUNITY	
		Low	High
EMPHASIS ON THE OFFENDER	High	Rehabilitation (Identification Focus)	Reintegration (Internalization Focus)
	Low	Restraint (Organizational Focus)	Reform (Compliance Focus)

fender is expected to be released as a "well" person who will be successful in adapting to societal living. In this model, the prison is a remote, independent unit free from contamination, where the practitioners work with inmates in individualized programs.(106)

On the other hand, the reintegrative model provides the offender with alternatives of behavior while in the community rather than isolated in a prison. O'Leary and Duffee have said:

> Emphasis on the community does not mean simply a stress on maintaining its values but in promoting changes as well within its institutional structure to provide opportunities for offenders and reduce systematic discrimination because of economic and cultural variances.(107)

Reintegration is not perceived as an overnight change, but as the gradual adoption of socially-acceptable behavior as this behavior is practiced and reinforced. Conrad, in describing the reintegrative model, has said: "Where this model is applied, the process will be the internalization of community standards." (108)

Realizing that reintegration is a gradual process, dichotomous measures of success and failure should not be used alone in determining program effectiveness. Outcome measures must be sufficiently sensitive to detect and enhance even minute movements in behavior.

Recidivism indicators alone are a negative measurement of criminal actions, and do not consider positive behavior or "adjustment." Therefore, a treatment program such as a halfway house which only utilized a negative scale would not receive credit for developing acceptable living patterns within offender clients unless criminal behavior were totally eliminated. The reintegrative model and definition of halfway house programs mandates an additional measure of positive behavior. Since halfway house programs seek to replace negative-valued behavior with positive behavior, outcome measures should include both types of indicators, sensitive enough to detect slighter progressive changes in the individual.

Seiter has developed a measure, labeled relative adjustment, which is designed to be a more sensitive and realistic measure for determining program effectiveness and in applying the information to the policy-making process.(109) The relative adjustment model has two major components. The first component is a continuous outcome criterion. The index is continuous in order to alleviate the forced dichotomous distinctions of "success" and "failure." To avoid total reliance on negative or deviant behavior parameters, additional factors defined as "acceptable adjustment patterns" have also been included in another graduated scale. The two scales are more sensitive to movement away from deviant behavior and toward acceptable behavior than are dichotomous outcome measures.

The second component of the relative adjustment measure is the utilization of a statistical technique (analysis of covariance) to correct for differences in the experimental and control groups. The combination of the scores of positive and criminal behavior with the analysis of covariance produces the relative adjustment outcome indicator.

The relative adjustment score can provide a more realistic outcome criterion than has previously been possible. Using the positive and criminal behavior scales, an ex-offender's minor deviant behavior can be balanced with positive adjustment factors. Also, the ex-offender who refrains from illegal behavior but does nothing else that otherwise qualifies as adjustment is not categorized as a total success, as he would be defined with traditional dichotomous recidivism measures.

5. *Current practice in research designs.* As part of the recent NEP survey of residential inmate aftercare facilities, an attempt was made to assess the state of the art of evaluative research with respect to halfway house programs. The survey was able to locate 55 evaluative studies. Only two of the studies used a true experimental design. Seventeen of the studies used a quasi-experimental design, and the remaining 36 studies were nonexperimental or descriptive reports. Fourteen of the 19 experimental or quasi-experimental studies were performed for federal, state, or local houses, indicating that these more rigorous, time-consuming research strategies may be easier to conduct within public agencies. Eight studies included simple comparisons of halfway house costs to state institutional costs. Only one study computed measures of cost-effectiveness. No cost-benefit analyses were found.

NOTES

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2. Ann Parker, *et al.*, *So You Want to Start a Community Corrections Project: A Primer for Developing a Community Corrections Project* (Hackensack, N.J.: National Council on Crime and Delinquency, 1974) pp. 3–4.
3. Vincent O'Leary and David Duffee, "Correctional Policy—A Classification of Goals Designed for Change," *Crime and Delinquency*, Vol. 17 (October 1971) pp. 373–386.
4. J. Ann George and R. J. Milstead, "A Systems Approach to Planning, Service Delivery, and Evaluation of Alcoholism Programs," Paper presented at the National Conference of Alcohol and Drug Problems Association, Minnesota, 1973.
5. John N. Warfield, *An Assault on Complexity* (Columbus, Ohio: Battelle Memorial Institute, 1973) pp. 8–11.
6. Mark L. McConkie, *Management by Objectives: A Corrections Perspective* (Washington, D.C.: National Institute of Law Enforcement and Criminal Justice, 1975) p. 8.
7. See: Richard P. Seiter, *et al.*, *Residential Inmate Aftercare: The State of the Art*—Supplement A—Survey of Residential Inmate Aftercare Facilities. National Evaluation Program Phase I (Columbus, Ohio: Ohio State University, Program for the Study of Crime and Delinquency, 1976).
8. Ibid.
9. Ibid.
10. Donald P. Sprengel, *et al.*, *The Regional Institute on Community Residential Treatment Centers: Final Report, Training Manual and Discussion Papers*, (St. Louis, Missouri: Center for Urban Programs, St. Louis University and the International Halfway House Association, July 1976) pp. 105–106.
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12. *Task Force Report: Corrections*. Task Force on Corrections, The President's Commission on Law Enforcement and Administration of Justice (Washington, D.C.: U.S. Government Printing Office, 1967).
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16. John D. Henderson, "Coexisting with the Community," Paper presented at the American Psychological Association Meeting, August 31, 1969.
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18. Barbara Allen, William Caldwell, and Stuart Adams, *A Neighborhood Reaction to the Establishment of a Halfway House*, (Washington, D.C.: District of Columbia Department of Corrections, 1973).
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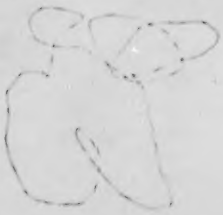


CHAPTER III. EVALUATING A HALFWAY HOUSE: A MODEL

This section presents evaluation procedures which can be utilized by individual halfway houses. These procedures have been designed to provide relevant data to program managers, and yet be easily implemented by the halfway house staff.

Evaluation procedures used in this model are generally those which measure the effectiveness of a program in terms of the stated goals of the halfway house. The results of these evaluation procedures should then be used to make policy decisions and to improve or modify the existing program.(1) Criteria used to judge the effectiveness of the program will vary, depending upon the focus of the evaluation. Research questions can focus upon overall goals, subgoals, basic intermediate objectives, or programmatic activities (as discussed above in Chapter II), as well as the assumptions which link activities with the achievement of objectives. Figure 1 illustrates the hierarchy of the framework described in Chapter II, as well as the suggested specific programmatic objectives of halfway houses. Again, we remind you that these goals, subgoals, basic objectives, and activity objectives are intended to be suggestive rather than prescriptive; you should think through the goals and objectives of your own program and prepare your own framework which accurately reflects the emphases of your own program.

Halfway houses should be evaluating the effectiveness of their programs and using the results of such evaluative efforts to modify and improve their program and policies.

State Planning Agencies may also actively assist halfway houses in setting up and coordinating uniform evaluation procedures, securing consultation from local educational facilities, locating graduate students who could conduct various evaluative efforts, acting as a coordinator and disseminator of results and, generally, making evaluation efforts in residential inmate aftercare programs a tool for improving the effectiveness of such programs.

Referring agencies such as departments of corrections might also be encouraged to work with halfway houses to facilitate such evaluative efforts. Specifically, these agencies could supply the documentation and case record information needed by halfway houses to assess their residents and to do followups of former residents. Also, the agencies could extend their assistance to facilitate referrals and to provide other types of services to the halfway houses.

A. Data Collection Points

The recommended model for halfway house evaluation efforts will require the collection of data at several key points. The following diagram (Figure 2) illustrates those points and the kind of data to be collected.

In the diagram, the emphasis is upon the resident, his needs and goals. However, information on the goal attainment success of all the residents for a given period, as well as their reintegration into the community, will serve as a measure of the program's overall success or effectiveness.

The collection of relevant data should become a routine procedure for the house staff. One of the most effective ways of accomplishing the routinization of data collection on a day-to-day basis is the development of a Management Information System (MIS). A well-conceived and rigorously followed system will not only provide valuable information about each individual client's progress through the house program, but will also provide the raw data necessary for programmatic evaluation. Two outstanding examples of fully-developed Management Information Systems are discussed in much greater detail in Chapter IV. Several data collection forms used by these programs are included in this section as guides for constructing easily-completed forms which provide useful data (see Appendix A).

B. Needs Assessment

A needs assessment for each resident should be conducted prior to, or immediately upon, entrance into the halfway house. The framework for evaluation indicates some of the programmatic activities of halfway houses which closely correspond to the needs of residents. Consequently, needs can be identified according to the following sample categories.

- Employment
- Education
- Financial self-reliance
- Family relationships
- Interpersonal relationships

Figure 1 Hierarchy of Objectives

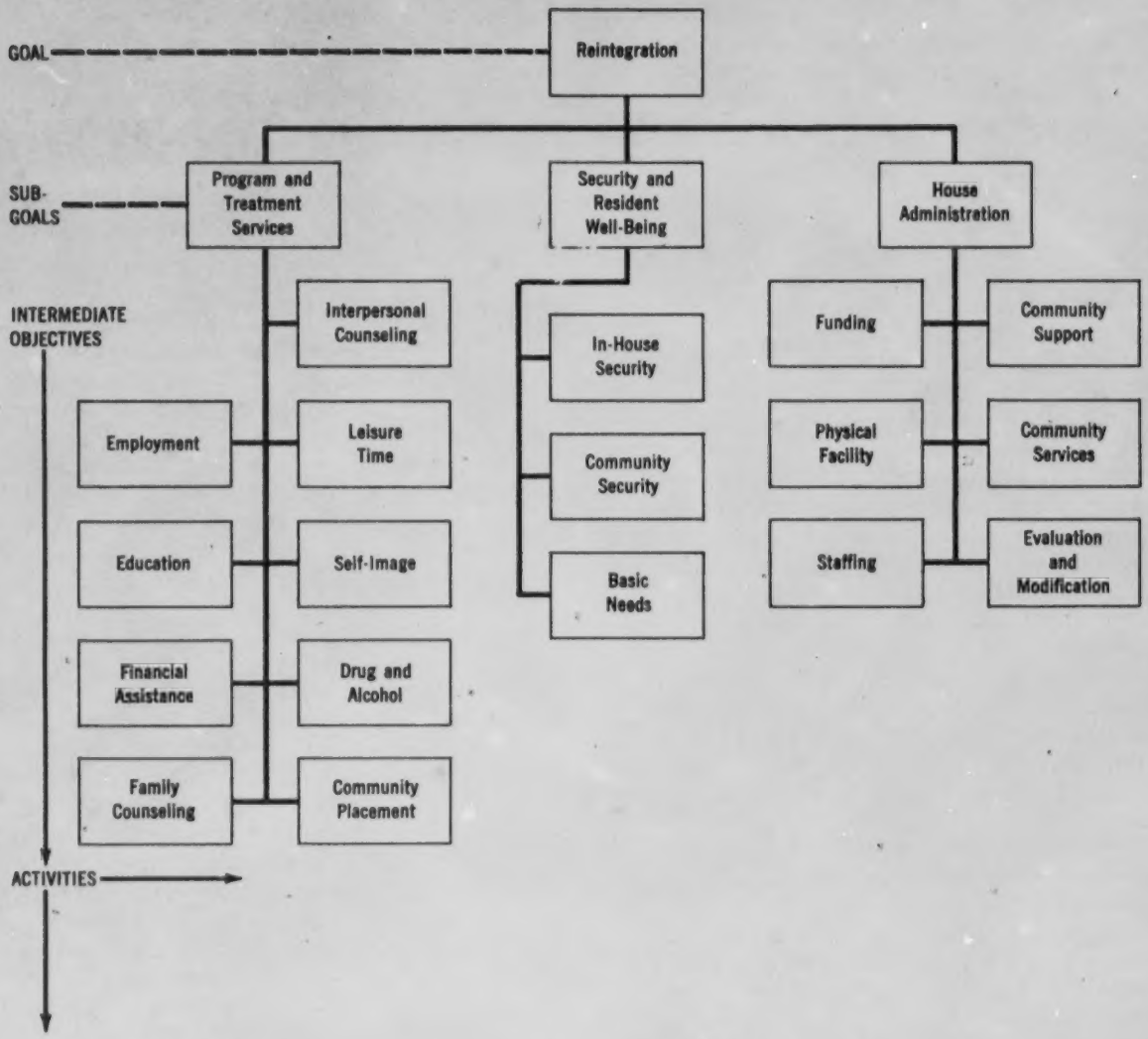
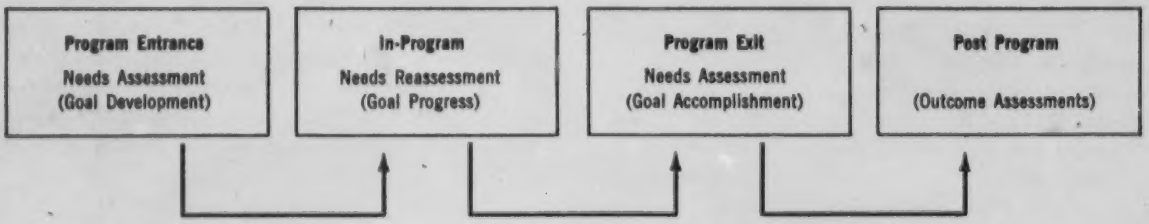


Figure 2. Data Collection Points



- Self-image
- Drug or alcohol dependence
- Leisure time activities
- Physical disabilities
- Security.

A more detailed breakdown of each of these needs as-

sessment categories can be found in Appendix B. The basic needs of clothing, transportation, housing and meals are assumed to be provided uniformly for all residents and, thus, are not essential to an individual needs assessment. The halfway house staff should develop its own needs assessment form, similar to that of Appendix B, to be completed for each resident. The degree of each need should be quantified; for example, one could indicate the extent of each need by using the following scale:

0	1,2,3	4,5,6	7,8,9
No Need	Minimum Need	Moderate Need	Maximum Need

Also, the extent of and circumstances surrounding the need should be descriptively enumerated. Following the needs assessment, specific goals can be developed for each resident within the halfway house program. Generally, these goals should be formulated from the needs identified by the needs assessment and will also include general program goals. A statement of these goals should be developed by staff and resident and agreed to by the resident. A written contract between the house and the resident may be developed which specifies the goals toward which the resident will be striving. Many goals can be operationalized and quantified to enable measurement of progress towards attainment of the goals. Community mental health centers are using a method called Goal Attainment Scaling(2) which is used to define and measure goals in behavioral terms within a given time period. It is recommended that a similar method be used in the halfway houses. In its simplest form, the problems or needs should be defined, followed by a statement of a goal to be working toward for a given period of time. The goal should be behaviorally defined to enable measurement. An example is given below.

Need	Long Range Goal	Intermediate Goal (time frame: two weeks)
Job placement	Secure permanent job	Visit employment office. Go for three interviews.

It is valuable to develop several objectives for each need, including, as appropriate, an overall goal, immediate behavioral objective(s), and attitudinal objective(s). At this point, many houses have found that the development of a written contract between the resident and staff can be useful in facilitating a specific commitment on the part of the resident and staff and spelling out the objectives and obligations of each of the parties.

C. Goal Progress

Progress toward these objectives and reassessment of needs should be reviewed and the objectives modified at specific intervals. Subjective assessments by staff and residents can be conducted periodically to measure individual progress, especially nonquantifiable progress, e.g., attitudinal objectives. In some houses, the other residents are also involved in the assessment process. One example of a subjective assessment can be found in Appendix C.

Prior to the resident's exit from the program, a final assessment of needs, progress toward the achievement of individual goals, and the identification of postrelease goals should be undertaken. A comparison of the needs assessment ratings at the entrance and exit of the resident should be conducted as a measure of the ability of the house to meet the resident's needs. A quantifiable measure of the resident's progress toward his goals is available through the goal attainment scaling procedure. Additionally, the subjective assessments offer a means of assessing the resident's progress and success within the program.

D. Program Completion

Generally, the data should be collected by halfway houses to determine the percentages of program completers and noncompleters for specific time periods. The criteria for program completion should be identified and made explicit. For example, program completion may involve the resident's satisfactorily meeting all the goals defined for him within the specified time and being released into the community. Noncompletion reasons (generally defined as failure) commonly include: arrest; inability to adjust to program; escape or abscond; and neutral or medical.

E. Correlational Analyses

Background variables should be collected for all residents. This information can be used to statistically determine correlations between these variables and program completion or noncompletion, as well as reintegration into the community. Moreover, through the use of correlational analysis it may be possible to identify types of residents who respond well to a halfway house program. For instance, previous research suggests that significant relationships exist between program completion (or success), as well as successful reintegration, and such variables as education, intelligence, marriage, sex, age, employment skills, history of drugs or alcohol problems, community ties, length of time at the halfway house, history of psychiatric treatment, age at beginning of criminal career, number of prior incarcerations and type and length of criminal record.(3)

Some categories of background variables include commitment variables; release variables; personal background variables; criminal history variables; and halfway house variables.(4) A suggested operationalization of each of these categories of variables can be found in

Appendix D. This operationalization is considerably detailed and may be condensed.

Program staff can determine background variables which will be collected. The amount of information gathered will depend not only on available resources for collecting and analyzing the data but also on the way in which the results will be utilized. However, the importance of certain variables, as noted above, warrants the necessity of their inclusion in the data collection and analysis. Multivariate analyses can be used to determine correlations between program completion, reintegration and the aforementioned variables.(5) The discovery of positive correlations between specific variables and program completion or successful reintegration may result in modification or change in programmatic or policy activities to best utilize such information. For example, it may be determined that those who are employed while in the program are more likely to successfully complete the program, and more likely to remain employed and successfully adjust to the community upon release from the program. Such information should then spur the halfway house to increase employment-related activities.

F. Programmatic Activity Evaluation

Evaluation of each of the intermediate objectives (which includes treatment activities) as denoted in Figure 1 involves measurement of activities which can then be compared to the objective linked to each of those activities. Because so little has been done to measure the accomplishment of intermediate objectives of halfway houses, the development of indicators for measurement has been based upon the knowledge and experience gained through the NEP study. Survey data collected from a large sample of halfway houses, along with consultation experiences and volumes of theoretical as well as evaluative information on halfway houses, have served as guides to the development of multiple indicators for the intermediate objectives of halfway houses.

Employment of the offender is the first identified intermediate objective. Except for interpersonal counseling, more effort was spent on employment-related activities than any other activity, and staff members defined employment as a top priority. Quantifiably, the percentage of residents employed or enrolled in vocational training serves as one indicator. Also, the number of job assists or interviews secured by the staff for residents can be used as a measure. In terms of quality, it is important to determine if the resident enjoys and is satisfied with his job, if he can support himself and family with the job, and what prospects for promotion or permanency exist. Outcome measures for this activity include assessments of job satisfaction, length of employment, number of jobs held since release, income, and changes in income. Outcome measures should be compiled for a similar group not experiencing the halfway house program in order to determine the effectiveness of house programmatic activities upon the adjustment of former residents in the community.

Educational activities are generally measured in terms of an increase in the educational level of the resident. Of consequence are the secondary effects of education upon the resident's ability to secure employment, improve his attitude and increase his self-confidence.

Financial self-reliance is another activity frequently considered important for residents. Measurement of this activity can include determination of the level of savings and incomes. Budgeting and consumer skills should also be assessed. Loan repayment records can serve as a measure for those residents with debts. Financial self-reliance outside of the house should be defined as the former resident's ability to support himself and his dependents without resorting to criminal behavior, charity, welfare or excessive indebtedness. This ability is dependent upon legitimate steady employment and adequate income. Legitimate steady employment is defined as a permanent full-time job extending at least 3 years into the future. Adequate income can be defined as that which can support a minimum standard of living as defined by the Bureau of Labor Statistics.

Measurement of activities involving the resident's relationship with his family are difficult to develop. Family relationships can vary tremendously for each individual and require a diversity of activities. Thus, this variable can best be measured in terms of the individual. The needs of the individual resident should be assessed and goals determined. The effectiveness of programmatic activities will largely be measured in terms of the resident's progress toward his goals. The number of counseling sessions attended or interactions with family can be quantifiable measures of the resident's family relationship.

The same measurement problem exists with assessing improvement of the resident's interpersonal relationships. Essentially, the best measurement process concerns the achievement of individualized short term objectives. Also, measurement of counseling sessions, crisis interventions, request for assistance, and critical incidents can supply information upon which to assess activities related to improving the resident's interpersonal relationships.

Measurement of the activities designed to improve the resident's self-concept include the number of counseling sessions, rating of physical appearance, number of reward situations and participation within the house milieu. Also, pre- and post-treatment self-concept measures are available and can be used.(6)

Reduction of the resident's dependence on drugs and alcohol is generally measured by determining the number of incidents or time between incidents of drug or alcohol abuse while at the house and, ideally, during a long term followup.

Leisure time activities constitute an area in which halfway houses have been relatively vague in stating their objectives, which has resulted in a lack of measurement. Recreation counseling sessions can be measured, as well as the utilization of in-house recreational facilities and participation in outside recreational activities.

The suitability of community placement would generally depend upon the particular resident and his specific needs. An assessment of the suitability can be made soon after the resident has moved to the residence.

Physical disability services also depend upon the needs of the resident. An assessment of satisfaction of the needs is the best measure for this variable. Obtaining glasses for a resident with poor eyesight would be an example of a measure of the effectiveness of activities supplying the needs of residents.

In-house security can be measured in terms of the number and seriousness of behavior incidents within the house, as well as the number of residents dropped from the program for breaking security rules. These can be compared with the house goals for security, or with general increases or decreases in security over time.

Community security is measured in terms of incidents committed by residents in the community. Such incidents may be reported by others or by the residents themselves. The number of residents dropped from the program because of misbehavior in the community is perhaps the most often used.

The suitability of program physical facility must be measured in terms of the requirements of the program. It should be determined if the house is large enough for programmatic activities, is accessible to jobs and services, and provides a satisfactory living environment. Generally accepted standards and guidelines regarding the physical facility are also in existence.(7)

The preceding section focused upon multiple indicators to be used in measuring some of the intermediate objectives of a halfway house program. Focus has been on the program objectives, directly affecting resident behavior. In general, many of the indicators can be quantified in terms of frequencies of occurrence. However, some indicators involve subjective assessments, necessitating the development of survey or rating instruments. These measurement guidelines should provide useful information to the practitioner for gathering data and implementing evaluative procedures for the assessment of the intermediate objectives of a halfway house.

G. Cost Analysis

The comparative cost of social programs is an issue of considerable importance. Halfway houses should determine the amount of money spent on each programmatic activity, and compare these data to the evaluation of those activities to determine if any reallocation of monies would have any relative effect on the program success. Also the cost per man per day and occupancy rates should be calculated periodically to analyze patterns and to enable comparisons with the alternative programs. If possible, cost-benefit analyses should be conducted.

Defining the benefits of a halfway house in monetary terms is quite difficult. It is generally agreed that the halfway house is more humane when compared to institutionalization, but quantifiable benefits are usually desired by funding sources and policymakers. Examples of benefits which can be quantified are as follows:

- Money earned by resident
- Financial support of family (eliminating the need for welfare dependence)
- Taxes paid by the resident
- Room and board paid by the resident
- Savings accumulated by resident
- Restitution or payment of fines.

These benefits can be combined with the cost of operating the halfway house and compared to the cost-benefit of institutions and other alternatives.

H. Followup Assessment

Postprogram performance of former residents should be assessed periodically to determine the effects of programmatic activities upon the resident's adjustment in the community. Followup measures should correspond to the needs assessments and activities provided while the resident was at the house. The employment adjustment of residents could be measured in terms of the percent of time employed during the followup period, quality of the job, satisfaction of the individual with the job, income, income change, and performance on the job. Education could be measured in terms of enrollment in or graduation from educational or vocational courses as well as an assessment of the retention or improvement of educational skills.

Financial self-reliance could be measured in terms of employment, income, savings, budgeting and consumer skills retention and utilization, loan repayment, and consistency in supporting self and family at a minimum standard of living. Stable family relationships would have to be subjectively assessed through the former resident and his family. Stable and socially acceptable patterns of interpersonal relationships would also require

subjective assessment by talking to the former resident and his employer, parole or probation officer, and friends. Positive self-image can be measured again by attitudinal survey if this measure was used at the house. Self-image could also be subjectively assessed by family friends, employer and parole or probation officer. A decrease or total lack of dependence on drugs or alcohol could be indicated through tests or by reports from family or parole and probation officers. Socially acceptable leisure time activities can be determined through discussion with the former resident and associates as well as with local recreational programs, if applicable. These general adjustment indicators can be collected by parole or probation officers or by personal followup inquiries at the house. Mailed self-reporting questionnaires may also be useful.

The absences of criminal behavior would be measured by the number of criminal behavior incidents exhibited by the former resident. This can be determined through the parole or probation officer, criminal justice system records, the individual and his associates. Both the severity and frequency of such incidents should be tabulated.

It is recommended that a followup study of former residents involve the collection of specific data for the individual while at the halfway house; 6 months after release from the house; 12 months after release; and 24 months after release. It is informative to determine the relatively immediate effect (or noneffect) of the program upon the individual's adjustments to the community (thus, the use of a 6-month time period). The outcomes of previous research concerning the longitudinal effects of correctional programs have varied, indicating a need for subsequent periods of assessment following the 6-month period (thus, the 12- and 24-month followup periods).

Followup data on former residents can be compared across time periods to determine patterns of adjustment or compared to predetermined expectations (or goals) of how the former resident will adjust. For example, based upon the halfway house program, it may be expected that 75 percent of the former residents of the house will have maintained their original job at the end of the 6-month period. Thus the actual percentage maintaining their job can be compared with the above goal and a conclusion drawn concerning the results. These goals should be set down and quantified prior to the followup. The basis for the development of these goals is dependent upon the program and the prognosis determined by the house.

I. Outcome Comparison

It is important to gather evaluative data to draw valid and reliable conclusions regarding the impact of residential inmate aftercare programs upon an individual's reintegration into the community. Thus, experimental data should be collected which will measure the outcome of the program and services in relation to stated goals and objectives. The overall goal of halfway houses as defined by this manual is:

> To assist in the reintegration of ex-offenders by increasing their ability to function in a socially acceptable manner and reducing their reliance on criminal behavior.

The measurement of the attainment of this goal is generally undertaken by an assessment of socially acceptable behaviors exhibited by former residents and by a reduction in criminal behavior. Confidence in the results of such measurements is increased through the use of a comparison group.

The kind of data to be collected is delineated quite explicitly in a study of Ohio halfway houses.(8) This study utilized an outcome measure termed "Relative Adjustment." This measure (see Appendix E) is based upon a criminal behavior index (a frequency and severity scale) and an acceptable behavior index (emphasizing employment and education status, financial stability, participation in self-improvement programs and satisfactory movement through parole or probation supervision). These two indices together assess the reintegration goal of halfway houses. Collection of the data required by these indices will involve contact with the former resident, parole or probation officers, employers, family, friends, community agencies, and criminal justice system agencies. Here again, it is recommended that the data be collected at 6-, 12- and 24-month intervals for both groups.

The selection of a nonrandomized comparison group involves the determination of a group of individuals comparable to the halfway house group but not receiving the halfway house experience. Commonly, a group of parolees is selected who were paroled from the institution during the same period the residents were released from the halfway house. The relative adjustment data should be collected for the comparison group and statistically compared to data collected from the halfway house group. The results indicate if there is a statistically significant difference in the relative adjustment of halfway house residents compared to a comparison group of individuals.

J. Resident Evaluation

Several programs find that some of their most beneficial feedback is from a resident evaluation of the program. Simple open-ended questions such as "What are the best and worst things about the program?" and "What would you do to improve the program?" can be

asked in an exit survey. These subjective assessments by residents identify problems that are often quite simple to resolve, but may have an important effect on house operations.

K. Outside Consultants

At times, it may be beneficial for an outside consultant to conduct a subjective and descriptive assessment of the halfway house program and operation. Before embarking on such a course, however, you should recognize that all "consultants" are not equal in skills or background. They do not all possess the same working knowledge of the criminal justice system or of corrections. When choosing a consultant, you should take into consideration both academic credentials and practical experience. Experience in program evaluation is important, but it should be accompanied by a knowledge of corrections and, specifically, halfway houses. Prior evaluation experience in corrections, supported by favorable references from other criminal justice agencies, may be strong indicators of a capable consultant.

The major point to be made in purchasing consulting services is that there must be a clear understanding between the consultant and the agency administrator of the responsibilities and duties of each. The assessment could involve a review of relevant records and documents; interviews with staff, residents and former residents, associated community agency personnel, relevant criminal justice personnel, board members and community residents; onsite observation of programmatic activities and procedures; and discussion with staff concerning questions which might arise. A task of this magnitude will require a considerable commitment of time and support by both the consultant and the agency. The agency must recognize that it is committing itself to providing data and access to personnel which will, at least temporarily, cause some interference with normal house operations.

The specifics of the proposed evaluation should be spelled out in a written proposal from the prospective consultant to the agency administrator. The proposal should include the specific tasks to be accomplished, the timeframe for their completion, the personal time commitment of the consultant, and the costs (including a maximum total cost). When a proposal acceptable to the agency is produced, it should be incorporated into a formal contract between the agency and the consultant. The contract should include an acceptance of direct responsibility for project completion by the consultant, and a provision for making final payment upon acceptance of the completed project by the agency.

The consultant's final product should be a written report, which assesses the various programmatic activities, policies, relationships with community agencies and the criminal justice system, and operation of the halfway house. Of course, both positive and negative observations will be important. Then, recommendations should be suggested for changes or modifications.

The objectivity of an outside consultant is important for uncovering patterns and problems nearly impossible to discover when the evaluator is a member of the house staff. Conversely, however, evaluations by outside consultants may not always be as objective as they should be, since program pressure to show success is often applied with a heavy hand by the agency being evaluated.

L. Evaluation Materials

There are presently several publications regarding evaluation in general and, specifically, evaluation of social programs. Some of those which have been found to be informative and relevant are listed below:

- Weiss, Carol H. *Evaluative Research: Methods of Assessing Program Effectiveness*. Englewood Cliffs, New Jersey: Prentice-Hall, 1972.
- Suchman, Edward A. *Evaluative Research: Principles and Practice in Public Service and Social Action Programs*, New York: Russell Sage Foundation, 1968.
- Glaser, Daniel. *Routinizing Evaluation: Getting Feedback on Effectiveness of Crime and Delinquency Programs*. Washington, D.C.: U.S. Department of Health, Education and Welfare, 1973.
- Seiter, Richard P. *Evaluation Research as a Feedback Mechanism for Criminal Justice Policy Making*. Unpublished doctoral dissertation, Ohio State University, 1975. Available from Xerox University Microfilms, Ann Arbor, Michigan.
- *Evaluation: A Forum for Human Service Decision-Makers* (magazine), 501 South Park Avenue, Minneapolis, Minnesota 55415.
- *Handbook of Evaluation Research*. Elmer Struening and Marcia Guttentag (eds.) Beverly Hills, California: Sage Publications, 1975.
- Kirby, Bernard C. *Crofton House Final Report*. San Diego State College, San Diego, California, June 1970.
- Vasoli, Robert H. and Fahey, Frank J. "Halfway House for Reformatory Releasees." *Crime and Delinquency*, Vol. 16 (July 1970) pp. 292–304.
- Warren, Marguerite Q. *Community Corrections: For Whom, When, and Under What Circumstances?* School of Criminal Justice, State University of New York at Albany, 1973.

- Wilkins, Leslie T. "A Survey of the Field from the Standpoint of Facts and Figures," in *Effectiveness of Punishment and Other Measures of Treatment*. Strasbourg: Council of Europe, 1967.
- Savitz, Leonard D. *A Critique of Research Reports Relevant to Failure on Release*. Department of Sociology, Temple University, no date.
- Thalheimer, Donald J. *Cost Analysis of Correctional Standards: Halfway Houses*. Standards and Goals Project, Correctional Economics Center of the American Bar Association, Washington, D.C., 1975.
- Adams, Stuart. *Evaluative Research in Corrections: A Practical Guide*. U.S. Department of Justice, Law Enforcement Assistance Administration, National Institute of Law Enforcement and Criminal Justice, March 1975.
- Allen, Harry E. and Seiter, Richard P. "The Effectiveness of Halfway Houses: A Reappraisal of a Reappraisal," *Chitty's Law Journal*, Vol. 24, No. 6 (June 1976), pp. 196–200.

APPENDIX A

DATA COLLECTION FORMS

These sample data collection forms have been adapted from forms used at Magdala Foundation in St. Louis, Missouri. The forms were designed to provide easily collected and useful client information. You will notice that most of the questions on both the intake form and the program form have forced-choice answers; this allows the data to be easily coded for analysis by computer. If your house has access to a computer, you can readily develop a coding format for the data you collect. If a computer is not available, the forms can be used as presented. The sample answers given here are merely suggestions. Additions, deletions, or modifications can be made to adapt the form to reflect the character of your program and clients.

INTAKE

Name_____ S.S.#_____

Address_____ Parole Officer_____

Phone_____ Parole Officer's Phone_____

1. House I.D.No.:

2. Admission
   (1) First
   (2) Second
   (3) Third or more
   (9) No information

3. Readmission
   (1) Yes
   (2) No

4. Sex
   (1) Male
   (2) Female

5. Race
   (1) White
   (2) Black
   (3) Other_____
   (9) No information

6. Date of Birth:
   _____
   Age:
   _____

7. Marital Status
   (1) Single
   (2) Married
   (3) Divorced
   (4) Separated
   (5) Widow(er)
   (9) No information

8. Number of Children
   (0) None
   (1-7) One to seven
   (8) Eight or more
   (9) No information

9. Number of Siblings
   (0) None
   (1-7) One to seven
   (8) Eight or more
   (9) No information

10. Intended Living Arrangements
   (1) Parents
   (2) Spouse
   (3) Alone
   (4) Nonclient Friend
   (5) Relative
   (6) Another Client
   (9) No Information

11. Criminal Record:
   (1) Age at first arrest:_____
   (2) Total Number of arrests:_____
   (3) Age of First Adult Conviction:_____
   (4) Total Number of Adult Convictions:_____

12. Incarcerations:
   (1) Total Number of Incarcerations:_____
   (2) Total Number of Months Incarcerated:_____

13. Family with Convictions:
   (A) Father/Stepfather: Yes____ No____
   (B) Mother/Stepmother: Yes____ No____
   (C) Spouse: Yes____ No____
   (D) Older Sibling: Yes____ No____
   (E) Younger Sibling: Yes____ No____
   (F) Twin: Yes____ No____

   (1) Yes
   (2) No

14. Education:
   Names of Schools Attended:
   _____
   _____
   _____
   _____

   Highest Grade Completed:
   _____

15. Vocational Readiness:
   (A) Number of Jobs held in last five years: _____
   (b) Longest Stay on Job: _____
   (C) Type of Job held longest:
      (0) None
      (1) Professional
      (2) Clerical
      (3) Sales
      (4) Service
      (5) Skilled
      (6) Semi-Skilled

(7) Unskilled
(8) Other
(9) No Information

(D) Average Pay/Hour on Longest Job: $_____

(E) Prior Vocational Training: (1) Yes _____
(2) No _____

16. Military Service: (1) Yes _____
(2) No _____

(A) Number of Months in Service: _____

(b) Type of Discharge:
(0) None
(1) Honorable
(2) General
(3) Dishonorable
(4) Medical
(5) Undesirable
(9) No Information

17. Special Problems

(A) Drug History:
(0) None
(1) Narcotics
(2) Barbiturates
(3) Hallucinogens
(4) Volatile Chemicals
(5) Marijuana
(6) Stimulants
(7) Cocaine
(8) Combination of above
(9) No Information

(B) Drug Treatment Received
(0) None
(1) Methadone
(2) Halfway House
(3) Outpatient Clinic
(4) Hospital
(5) Private
(6) Hospital and other
(7) Other
(8) Combination of above
(9) No Information

(C) Alcohol Abuse
(0) None
(1) Drinks to blackouts
(2) Goes on binges
(3) Outpatient treatment
(4) Private treatment

(5) Hospital
(6) Halfway House
(7) Member of AA
(8) Combination of above
(9) No Information

(D) Psychiatric History
(0) None
(1) Prior Evaluation
(2) Outpatient
(3) Minor Tranquilizers prescribed
(4) Antidepressant prescribed
(5) Major Tranquilizer prescribed
(6) Hospitalized
(7) Electro-shock therapy
(8) Combination of above
(9) No Information

(E) Suicidal History
(0) None
(1) One attempt
(2) Two or more attempts
(9) No Information

18. Place of Residence
(1) Within city
(2) Within county
(3) Within state
(4) Out of state
(9) No Information

19. Referral Source(s)
(01) Federal Bureau of Prisons
(02) Federal Probation Office
(03) State Department of Corrections
(04) State Probation/Parole Authority
(05) County Jail
(06) County Probation Office
(07) City Jail
(08) City Probation Office
(09) Self-referral
(10) Other_____
(11) No Information

20. Legal Status
(01) Diversion
(02) Observation and Study
(03) Pre-Release
(04) Split Sentence
(05) Probation

(06) Parole
(07) Bond
(08) Flat Time
(09) Work Release
(10) Pre-Trial Release
(11) Shock Probation
(12) Other_____
(13) No Information

21. Place of Last Conviction
(1) City
(2) County
(3) State
(4) Out of state
(5) Other_____
(9) No Information

22. Reason for Referral
(0) Emergency Lodging
(1) Psychological Service only
(2) Vocational Service only
(3) Residency stipulated
(4) Residency not stipulated
(5) Outclient stipulated
(6) Outclient not stipulated
(7) Other_____
(9) No Information

23. Decision
(1) Accept
(2) Reject

24. Reason for Rejection
(1) Too young
(2) Too old
(3) Drug addiction
(4) I.Q. too low
(5) Too aggressive
(6) Refused to participate in program
(7) No legal status
(8) Other_____
(9) No Information

25. Release of Information Forms Signed: (1) Yes
(2) No

26. Date of Interview: _____

CLIENT'S RESIDENTAL PROGRAM FORM

Name:_____

House I.D. No.:_____

Date Client Entered Program: _____

1. SOCIAL EVALUATION (To be completed at third staff meeting following entrance into program.)

A. Relationship with Family

(0) Has No Family
(1) Relationship Disintegrated: No Contact Maintained
(2) Very Poor
(3) Strained
(4) Unsatisfactory: Minor Problems
(5) Satisfactory: No Problems
(6) Fairly Good
(7) Excellent: Mutual Support Evident

B. Social Skills

Level of Awareness:
(1) Very confused and imperceptive
(2) Somewhat oblivious to social situation
(3) Average level of alertness
(4) Good degree of awareness
(5) Very alert and perceptive

Judgment
(1) Judgment cannot be trusted
(2) Occasional poor judgment
(3) Average judgment
(4) Good common sense
(5) Makes excellent decisions

Affability:
(1) Distinctly unpopular
(2) Not particularly likeable
(3) Average in popularity
(4) Fairly popular
(5) Extremely likeable

Emotional Tone:
(1) Usually sad and depressed
(2) Rather apathetic
(3) Average tone
(4) Mostly happy
(5) Very happy and carefree

Emotional Responsiveness:
(1) Dull, very little variation in feeling
(2) Blunted, some variation in feeling
(3) Emotions vary appropriately with situation
(4) Somewhat exaggerated
(5) Somewhat strong and fast: hot headed

Interest:
(1) Seems very bored
(2) Somewhat uninterested
(3) Moderately interested
(4) Somewhat enthusiastic
(5) Very enthusiastic

Ambition:
(1) No apparent ambition
(2) Little ambition
(3) Average level of ambition
(4) Somewhat goal oriented
(5) Very high level of aspiration

Planning Ability:
(1) Goals unrealistic
(2) Goals realistic: magic, immediate achievement
(3) Goals realistic: doesn't know how to begin
(4) Goals realistic: some notion of mediating steps
(5) Goals realistic: subgoals planned out

Endurance:
(1) Unable to stick with a task
(2) Flighty and has problems staying involved
(3) Average endurance
(4) Good staying power
(5) Can stick with almost anything

Initiative:
(1) Needs much prodding
(2) Somewhat sluggish
(3) Average degree of initiative
(4) Able to begin projects with little support
(5) Very comfortable

Voice Quality:
(1) Very grating
(2) Poor
(3) Average
(4) Pleasing
(5) Very attractive

Verbal Skills:
(1) Very poor; does not listen
(2) Listens when forced to
(3) Average; listens occasionally
(4) Usually listens before responding
(5) Communicates exceptionally well

Candor:
(1) Positive efforts to deceive
(2) Attempts to shade truth
(3) Average level of honesty
(4) Willing to reveal truth
(5) Forthright and open

Self-Confidence:
(1) Very poor self-concept
(2) Some feelings of inadequacy
(3) Average self-concept
(4) Sells self fairly well
(5) Convinced of own ability

Cooperativeness:
(1) Refuses to work constructively
(2) Procrastinates before working
(3) Average cooperation
(4) Good cooperation
(5) Very ready to work constructively

Responsibility:
(1) Doesn't care about work quality
(2) Little response to work quality
(3) Average response to work quality
(4) Rather concerned about work quality
(5) Very concerned about work quality

Emotional Stability:
(1) Behavior bizarre
(2) Behavior unpredictable
(3) Average stability
(4) Rather stable and organized
(5) Very together and well organized

Maturity:
(1) Impulsive: very immature and egocentric
(2) Behaves rather immaturely
(3) Behaves as person own age
(4) Somewhat more mature than own age
(5) Very mature: acts older than age

Rating of Ability to Maintain Prosocial Life:
(1) Extremely poor
(2) Poor
(3) Average
(4) Good
(5) Excellent

C. Debts Owed

$_____

2. NEED AND CONTRACTUAL SERVICE AGREEMENT

A. Contract Negotiated
(1) Yes
(2) No

B. Date of First Service Contract:

_____

C. For Each Service, Select Need Level and Contractual Agreement

(0) Not Needed
(1) Low Need - Not in Contract
(2) Moderate Need - Not in Contract
(3) High Need - Not in Contract
(4) Low Need - In Contract
(5) Moderate Need - In Contract
(6) High Need - In Contract
(9) No Information

1. Vocational Training _____
2. Employment Services _____
3. Educational Services _____
4. Budgeting and Savings ____
5. Drug Detoxification _____
6. Drug Surveillance Program ____
7. Alcohol Detoxification _____
8. Collateral Psychiatric/ Psychological Services _____
9. Alcohol Program _____
10. Medical Services ____
11. Dental Services _____
12. Legal Services _____
13. Welfare Services ____
14. Family Counseling ___
15. Significant Other Group Counseling ____
16. Individual Counseling ____

3. SERVICE DELIVERY

Vocational Training
Service Utilized:
(1) Yes
(2) No

Eligibility:
(1) Partial completion only
(2) Completed: Not eligible
(3) Completed: Accepted training
(4) Completed: Refused training
(9) No Information

Source of Tuition:
(1) Resident/family
(2) Vocational Rehabilitation
(3) C.E.P.
(4) C.E.T.A.
(5) Industry
(6) Other_____
(9) No Information

Employment Services
Service utilized:
(1) Yes
(2) No
Number of days to secure first job (other than temporary labor)
(0) Never secured job
(1-97) 1 to 97 days after contract
(98) Entered program with job
(99) No Information

Educational Services
Service utilized:
(1) Yes
(2) No
Type of Service:
(1) Remedial
(2) Adult Basic Education
(3) High School Degree
(4) College Degree
(5) Other_____
(9) No Information

Drug Services
Service utilized:
(1) Yes
(2) No
Detoxification:
(0) None
(1) City Hospital
(2) State Hospital
(3) Private Hospital
(4) In House
(5) Other_____
(6) More than one
(9) No Information

Drug Surveillance:
(1) Yes
(2) No

Alcohol Services

Service utilized:
(1) Yes
(2) No
Detoxification:
(0) None
(1) City Hospital
(2) State Hospital
(3) Private Hospital
(4) In House
(5) Other_____
(6) More than one
(9) No Information
Alcohol programs:
(1) Antabuse
(2) Alcoholics Anonymous

Collateral Psychiatric/Psychological Services

Services utilized:
(1) Yes
(2) No
In-Patient Service:
(0) None
(1) City Hospital
(2) State Hospital
(3) Private Hospital
(4) Other_____
(5) More than one
(9) No Information
Out-Patient Service:
(0) None
(1) City Hospital
(2) State Hospital
(3) Private Hospital
(4) Other_____
(5) More than one
(9) No Information

Medical Services

Service utilized:
(1) Yes
(2) No
Service Provider:
(1) Private Practitioner
(2) City Hospital

(3) State Hospital
(4) Private Hospital
(5) Other_____
(6) More than one
(9) No Information
Type of Services:
(1) In-Patient
(2) Out-Patient
(3) Both

Other Services
Dental Service utilized:
(1) Yes
(2) No
Legal Services utilized:
(1) Yes
(2) No
Welfare Services Utilized:
(1) Yes
(2) No

Family Counseling
Service utilized:
(1) Yes
(2) No
Service delivered by external agency:
(1) Yes
(2) No
Service delivered in house:
(1) Yes
(2) No

Significant Other Group Counseling
Service utilized in house program:
(1) Yes
(2) No

Individual Counseling by Staff/Volunteers
Service utilized:
(1) Yes
(2) No
Goals of Counseling - To improve:
(01) Insight
(02) Interpersonal relationships
(03) Coping with tension
(04) Peer choices
(05) Relationships with authority
(06) Communication skills
(07) Self-concept
(08) Self-control
(09) Temper control

(10) Delay of gratification: Patience
(11) Contact with reality
(12) Other_____
(13) More than one
(99) No Information

Psychological Screening Follow-Up:
(1) Yes
(2) No

4. POST SOCIAL SKILLS EVALUATION (To be completed at staffing one week prior to outdate.)

A. Relationship with Family

(0) Has No Family
(1) Relationship Disintegrated: No Contact Maintained
(2) Very Poor
(3) Strained
(4) Unsatisfactory: Minor Problems
(5) Satisfactory: No Problems
(6) Fairly Good
(7) Excellent: Mutual Support Evident

B. Social Skills

Level of Awareness:
(1) Very confused and imperceptive
(2) Somewhat oblivious to social situation
(3) Average level of alertness
(4) Good degree of awareness
(5) Very alert and perceptive

Judgment:
(1) Judgment cannot be trusted
(2) Occasional poor judgment
(3) Average judgment
(4) Good common sense
(5) Makes excellent decisions

Affability:
(1) Distinctly unpopular
(2) Not particularly likeable
(3) Average in popularity
(4) Fairly popular
(5) Extremely likeable

Emotional Tone:
(1) Usually sad and depressed
(2) Rather apathetic
(3) Average tone
(4) Mostly happy
(5) Very happy and carefree

Emotional Responsiveness:
(1) Dull, very little variation in feeling
(2) Blunted, some variation in feeling
(3) Emotions vary appropriately with situation
(4) Somewhat exaggerated
(5) Somewhat strong and fast: hot headed

Interest:
(1) Seems very bored
(2) Somewhat uninterested
(3) Moderately interested
(4) Somewhat enthusiastic
(5) Very enthusiastic

Ambition:
(1) No apparent ambition
(2) Little ambition
(3) Average level of ambition
(4) Somewhat goal oriented
(5) Very high level of aspiration

Planning Ability:
(1) Goals unrealistic
(2) Goals realistic: magic, immediate achievement
(3) Goals realistic: doesn't know how to begin
(4) Goals realistic: some notion of mediating steps
(5) Goals realistic: subgoals planned out

Endurance:
(1) Unable to stick with a task
(2) Flighty and has problems staying involved
(3) Average endurance
(4) Good staying power
(5) Can stick with almost anything

Initiative:
(1) Needs much prodding
(2) Somewhat sluggish
(3) Average degree of initiative
(4) Able to begin projects with little support
(5) Very comfortable

Voice Quality:
(1) Very grating
(2) Poor
(3) Average
(4) Pleasing
(5) Very attractive

Verbal Skills:
(1) Very poor; does not listen
(2) Listens when forced to
(3) Average; listens occasionally
(4) Usually listens before responding
(5) Communicates exceptionally well

Candor:
(1) Positive efforts to deceive
(2) Attempts to shade truth
(3) Average level of honesty
(4) Willing to reveal truth
(5) Forthright and open

Self-Confidence:
(1) Very poor self-concept
(2) Some feelings of inadequacy
(3) Average self-concept
(4) Sells self fairly well
(5) Convinced of own ability

Cooperativeness:
(1) Refuses to work constructively
(2) Procrastinates before working
(3) Average cooperation
(4) Good cooperation
(5) Very ready to work constructively

Responsibility:
(1) Doesn't care about work quality
(2) Little response to work quality
(3) Average response to work quality
(4) Rather concerned about work quality
(5) Very concerned about work quality

Emotional Stability:
(1) Behavior bizarre
(2) Behavior unpredictable
(3) Average stability
(4) Rather stable and organized
(5) Very together and well organized

Maturity:
(1) Impulsive: very immature and egocentric
(2) Behaves rather immaturely
(3) Behaves as person own age
(4) Somewhat more mature than own age
(5) Very mature: acts older than age

Rating of Ability to Maintain Prosocial Life:
(1) Extremely poor
(2) Poor
(3) Average
(4) Good
(5) Excellent

5. RELEASE DATA (Complete on day of release.)

Vocational Training
Total Number of weeks training attended:

_____

Status of Training on day of release:
(1) Training completed
(2) Dropped by school
(3) Dropped voluntarily
(4) Still in training
(5) Training to begin after release
(6) Other _____
(9) No Information

Employment Services
Longest Number of Weeks Consecutively Employed without one day lost due to job change: _____
Status of Employment on Day of Release:
(0) Unemployed
(1) Part-time job
(2) Full-time job
(3) Other _____
(9) No Information
If employed on release day: pay per hour
$_____

Educational Services
Number of Hours of In-program tutoring:

_____

Total Number of A.B.E. classes attended:

_____

G.E.D. Test:
(1) Not needed
(2) Not taken
(3) Taken - passed
(4) Taken - failed
(9) No Information

Status of A.B.E. on day of release:
(1) Dropped by school
(2) Dropped voluntarily
(3) Still in class
(4) Other _____
(9) No Information

Total Number of weeks in high school/college:

_____

Status of high school/college on day of release:
(1) Dropped by school
(2) Dropped voluntarily
(3) Still in school
(4) Other _____
(9) No Information

Drug Service

Longest number of consecutive weeks with clean urines:

_____

Is client drug free?
(1) Yes
(2) No

Rate client's ability to maintain drug free life:
(1) Poor
(2) Below average
(3) Average
(4) Above average
(5) Superior

Alcohol Service

Is client free of alcohol dependence?
(1) Yes
(2) No

Rate ability of client to remain free of alcohol dependence:
(1) Poor
(2) Below average
(3) Average
(4) Above average
(5) Superior

Total Number of Days as Resident

_____

Type of Release

(01) Program completed
(02) Program partially completed - return to community - not runaway or terminated
(03) Legal status terminated
(04) Transferred to another community correctional agency
(05) Transferred to non-correctional agency
(06) Runaway - warrant issued
(07) Runaway - warrant not issued
(08) Escape
(09) Incarcerated for a new offense
(10) Sentenced for a prior offense
(11) Terminated - warrant issued
(12) Terminated - no warrant issued
(13) Voluntary client - didn't like program
(14) Death
(15) Other_____

Client to Enter Aftercare?

(1) Yes
(2) No

Earnings Summary

Total earnings in Program:
$_____

Total Federal Tax Deductions (including F.I.C.A.):
$_____

Total State Tax Deductions:
$_____

Total Local Tax Deductions:
$_____

(This form is due at the first staff meeting following the client's release.)

APPENDIX B

RESIDENT NEEDS ASSESSMENT

1. Employment
   a. Is vocational testing needed?
   b. Is vocational counseling needed?
   c. Is vocational training needed?
   d. Is job counseling needed?
   e. Are job hunting and interview skills needed?
   f. Is job placement assistance needed?

2. Education
   a. Is educational testing needed?
   b. Is educational training needed?
   c. Is educational placement assistance needed?

3. Financial self-reliance
   a. Is a mandatory savings account needed?
   b. Is control of the resident's expenditures required?
   c. Are budgeting skills needed?
   d. Is consumer education needed?
   e. Are a loan and information about getting a loan needed?
   f. Are work-related activities at the house needed?

4. Family relationships

   a. Is family counseling needed?

   b. Are parent role skills needed?

   c. Is individual counseling needed?

   d. Is group counseling needed?

5. Interpersonal relationships

   a. Is individual counseling needed?

   b. Is group counseling needed?

   c. Is crisis intervention counseling needed?

6. Self-image

   a. Is individual counseling needed?

   b. Is group counseling needed?

   c. Are clothing and grooming skills needed?

   d. Are community mental health services needed?

7. Drug or alcohol dependence

   a. Is individual counseling needed?

   b. Is group counseling needed?

   c. Is community drug treatment needed?

   d. Is community alcohol treatment needed?

8. Leisure time activities

   a. Is individual counseling needed?

   b. Is group counseling needed?

   c. Are recreational skills needed?

   d. Are organized recreational activities needed?

9. Physical disabilities

   a. Is medical care needed?

   b. Is dental care needed?

   c. Is physical rehabilitation needed?

   d. Is counseling needed?

10. Security

   a. Are special security measures or restrictions needed?

   b. Is counseling needed?

APPENDIX C*

SUBJECTIVE ASSESSMENT OF RESIDENT PROGRESS

Resident_____

The purpose of this evaluation is to evaluate the individual resident's progress in certain areas. These evaluations are conducted each week by staff and resident.

EXPLANATION OF TERMS:

Self-esteem: The individual's feelings of self-worth and value.

Perception of Reality: The individual's ability to determine the appropriateness of his behavior in any given situation, irrespective of conscience.

Interpersonal Relationships with Residents and Staff: The level at which the individual relates to people involved with the halfway house on a day-to-day basis.

Interpersonal Relationships with Non-Residents: The level at which the individual functions in relationships with people not involved with the halfway house on a day-to-day basis.

Interpersonal Relationships with Significant Others: The ability of the individual to function in all levels of interpersonal relationships with significant others. The relationship may be casual, friendship, romantic, marriage, or otherwise. In most cases, we consider this an extremely important aspect of rehabilitation.

Conscience: Effectiveness of the mechanism by which an individual experiences appropriate feelings of guilt coincident with inappropriate behavior.

Group Involvement - Working on Self: Individual's receptiveness in group counseling when working on his own behavior.

Group Involvement - Working on Others: Individual's involvement in group counseling when working on the behavior of others.

Response to One-to-One Counseling: Individual's response and cooperative effort in one-and-one counseling with staff members.

Honesty: The degree or extent to which the individual has acquired an honest foundation. This is an important aspect of counseling.

Reliability: The degree to which the individual can be depended on to fulfill basic expected responsibilities.

Overall Progress in Program: Extent to which the individual seems to be progressing in the program.

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*This form was adapted from one developed by Gerald T. Kaplan, M.A., and used by Alpha House, Inc., 2712 Fremont Avenue South, Minneapolis, Minnesota 55807.

SELF-ESTEEM	
PERCEPTION OF REALITY	
INTERPERSONAL RELATIONSHIPS WITH RESIDENTS	
INTERPERSONAL RELATIONSHIPS WITH NON-RESIDENTS	
INTERPERSONAL RELATIONSHIPS WITH SIGNIFICANT OTHERS	
CONSCIENCE	
GROUP INVOLVEMENT WORKING ON SELF	
GROUP INVOLVEMENT WORKING ON SELF	
GROUP INVOLVEMENT WORKING ON SELF	
RESPONSE TO ONE-TO-ONE COUNSELING	
HONESTY	
RELIABILITY	
OVERALL PROGRESS IN THE PROGRAM	

PROGRESS TOWARD QUANTIFIABLE GOALS	

Scale
1 - poor
2 - fair
3 - fair but showing good progress
4 - acceptable
5 - good
6 - excellent
NA: does not apply to individual at this time

NOTE:

An individual may experience fluctuations in progress; consequently, an occasional setback may be expected to occur from time to time.

Length of time at house

_____

Comments: _____

_____

_____

_____

Name: _____ 66 Date: _____

SELF-ESTEEM	
PERCEPTION OF REALITY	
INTERPERSONAL RELATIONSHIPS WITH RESIDENTS	
INTERPERSONAL RELATIONSHIPS WITH NON-RESIDENTS	
INTERPERSONAL HETEROSEXUAL RELATIONSHIPS	
CONSCIENCE	
GROUP INVOLVEMENT WORKING ON SELF	
GROUP INVOLVEMENT WORKING ON SELF	
GROUP INVOLVEMENT WORKING ON SELF	
RESPONSE TO ONE-TO-ONE COUNSELING	
HONESTY	
RELIABILITY	
OVERALL PROGRESS IN THE PROGRAM	

PROGRESS TOWARD QUANTIFIABLE GOALS	

Scale
1 - poor
2 - fair
3 - poor or fair but showing good progress
4 - acceptable
5 - good
6 - excellent
NA: does not apply to individual at this time

NOTE:

An individual may experience fluctuations in progress; consequently, an occasional setback may be expected to occur from time to time.

Length of time at house

_____

Comments: _____

_____

_____

_____

Name: _____ 67 Date: _____

APPENDIX D

RESIDENT BACKGROUND VARIABLES

1. Commitment Variables

   a. Type of institution of original commitment

   b. Age at commitment

   c. Present Offense (most serious charge)

      (1) Offenses against the person

      (2) Sex offenses

      (3) Crimes against property

      (4) Other

   d. Number of charges involved in present offense.

      (1) The total number of charges involved in the present commitment. For example, if an individual is committed for burglary, arson and assault, three charges are recorded. Charges should not be confused with counts. An individual may be committed on 16 counts for the single charge of burglary.

   e. Type of sentence

      (1) Simple - one sentence is being served.

      (2) Concurrent - more than one sentence is being served (all served coterminously).

      (3) Aggregate - more than one sentence is being served but the sentences are added together and not served coterminously.

      (4) Forthwith - a sentence which supercedes an existing sentence.

      (5) From and After - a sentence which began after an individual had been released from an existing sentence.

2. **Personal background variables.**

   a. **Race**

   b. **Marital status**

   c. **Military service**

      (1) **None**

      (2) **Honorable discharge**

      (3) **Dishonorable discharge**

      (4) **Bad conduct discharge, other than honorable, general, undesirable**

      (5) **Medical**

      (6) **In Armed Service, but the type of discharge is not listed on the booking sheet**

   d. Occupational field

      (1) Professional - (e.g., lawyers, doctors, engineers, clergy)

      (2) Business/Managerial - ownership of management of a business valued at $10,000 or more.

      (3) Clerical/Sales - (e.g., sales managers, life insurance sales, bookkeeper, clerks).

      (4) Skilled Manual - (e.g., master tradesman, machinist, factory foreman)

      (5) Semi-Skilled Manual - (e.g., apprentice craftsman, automobile mechanic, assembly line)

      (6) Unskilled Manual - labor tasks requiring little training or skill.

      (7) Service - (e.g., bartender, waiter, taxi driver, janitor)

   e. Length of employment at most skilled position

   f. Longest time employed at any one job

   g. Last grade completed

h. History of drug use

(1) No mention of drug use

(2) Drug user (no specific drug mentioned)

(3) Drug user (mention of heroin use)

(4) Drug user (mention of the use of any drug other than heroin or marijuana--the exclusive use of marijuana)

(5) Drug user (marijuana only drug mentioned)

3. Criminal History Variables

a. Age at first arrest

b. Age at first drunk arrest

c. Age at first drug arrest

d. Total number of court appearances

e. Number of court appearances for person offenses

f. Number of court appearances for property offenses

g. Number of court appearances for sex offenses

h. Number of court appearances for narcotic offenses

i. Number of court appearances for drunkenness offenses

j. Number of court appearances for escape offenses

k. Number of juvenile commitments

l. Number of house of correction commitments

m. Number of prior state or federal commitments

n. Number of any incarcerations

o. Number of juvenile paroles

p. Number of adult paroles

q. Number of any paroles

r. Number of juvenile parole violations

s. Number of adult parole violations

t. Number of any parole violations

4. Release Variables

a. Age at release

b. Length of time served on present incarceration

c. Type of release

5. Halfway House Variables

a. Length of stay

b. Employed while at house

c. Special Counseling

(1) Type

d. Vocational training/educational enrollment

e. Incidents at house

f. Status of program completion

APPENDIX E

A MEASURE OF RELATIVE ADJUSTMENT

To determine the effectiveness of halfway houses in assisting in the reintegration of offenders, a new outcome measure entitled relative adjustment was developed. Relative adjustment (RA) is founded on the premise that the correctional philosophy of reintegration emphasizes the development of acceptable living patterns to replace the offender's prior reliance on deviant behavior.

If one were to accept the reintegrative model, the successful adjustment of an offender should not be judged on his criminal behavior alone. What should be considered is his prior history of behavior, the present criminal involvement, and also his positive or acceptable behavior patterns. In this sense, the total exorcism of all criminal tendencies will not occur immediately, but reliance on criminal behavior will slowly be replaced as acceptable behavior is practiced and reinforced.

Therefore, a single measure of recidivism or return to crime is not seen as a valid measure of the effectiveness of a reintegrative program and should not be used. In place of the traditional measure of recidivism, a continuous scale of criminal behavior (according to the frequency and severity of offenses) will be combined with a quantitative measure of acceptable behavior patterns. These two scores, in combination with the utilization of analysis of covariance to control for the relative

difference in the comparison and experimental groups, make up the "relative adjustment" outcome criteria.

Criminal Behavior Outcome Criteria

To replace the dichotomous measure of recidivism where an offender is either classified a "success" or "failure," a continuous scale of criminal behavior has been used. The continuous scale is based on the severity of the offense as prescribed in the Ohio Criminal Code. The Code was developed after consultation with criminal justice experts and was passed by the Ohio Legislature. The offense severity assignments are therefore accepted as valid. Of course, other scales can easily be developed to reflect the seriousness of offenses as prescribed by the criminal codes of other states.

To assure the reliability of the scale, only the offender's behavior (the actual offense) is considered. Usually, recidivism measures are based on the disposition of the offense; however, dispositions could vary from court to court. In utilizing the continuous criminal behavior criteria, the offender is assigned a score based on the offense of which he has been found guilty or has confessed to committing. Although charges are often reduced from the actual offense, this is assumed to occur equally between the groups and therefore has no biased effect on the outcome scores.

Since multiple offenses can occur during the twelve-month outcome analysis, the severity score for each offense is added. It is then

theoretically possible for the offender to exceed the highest score on the scale. Also added to the scale are severity scores for technical parole or probation violations and absconding or being declared a violator at large. Table E-1 illustrates the severity categories to which offenses are assigned.

Adjustment Criteria Index

The second element in the development of this total outcome criterion is the construction of a scale of "acceptable living patterns." Since the reintegration model is not perceived as a sudden change in behavior, but movement toward acceptable societal norms, an adjustment scale should be included as well as a criminal behavior scale. Several items generally considered to demonstrate "acceptable societal behavior" are presented in Table E-2. These are not ascribed as total indicators of success, but merely as an index of adjustment within the community.

TABLE E-1. CRIMINAL BEHAVIOR SEVERITY INDEX

Degree of Offense	Assigned Score
Aggravated murder	11
Murder	10
Felony 1st	9
Felony 2nd	8
Felony 3rd	7
Felony 4th	6
Misdemeanor 1st	5
Misdemeanor 2nd	4
Misdemeanor 3rd	3
Misdemeanor 4th	2
Minor Misdemeanor	1
Violator at Large	1
Technical Violation	0.5

TABLE E-2. ADJUSTMENT CRITERIA INDEX

Assigned Score	Adjustment Criterion
+1	Employed, enrolled in school, or participating in a training program for more than 50 percent of the follow-up period.
+1	Held any one job (or continued in educational or vocational program) for more than a six-month period during the follow-up.
+1	Attained vertical mobility in employment, educational, or vocational program. This could be a raise in pay, promotion of status, movement to a better job, or continuous progression through educational or vocational program.
+1	For the last half of follow-up period, individual was self-supporting and supported any immediate family.
+1	Individual shows stability in residency. Either lived in the same residence for more than 6 months or moved at suggestion or with the agreement of supervising officer.
+1	Individual has avoided any critical incidents that show instability, immaturity, or inability to solve problems acceptably.
+1	Attainment of financial stability. This is indicated by the individual living within his means, opening bank accounts, or meeting debt payments.
+1	Participation in self-improvement programs. These could be vocational, educational, group counseling, alcohol or drug maintenance programs.
+1	Individual making satisfactory progress through probation or parole periods. This could be moving downward in levels of supervision or obtaining final release within period.
+1	No illegal activities on any available records during the follow-up period.

The major emphasis of the adjustment scale is on work or educational stability, although also included are self-improvement qualities, financial responsibility, parole or probation progress, and absence of critical incidents or illegal activities. Although these items are somewhat discretionary and do not include all the qualities which could be defined as adjustment, each does suggest stability, responsibility, maturity, and a general order in life style that is correlated with socially accepted patterns of behavior.

The construction of this adjustment scale was subjected to tests for validity and reliability. To validate the scale, various parole and probation officers, research associates, members of the Ohio Citizens' Task Force on Corrections, and other professionals in the field were consulted to determine items generally considered as acceptable adjustment. To test the reliability of the scale, scoring of the adjustment criterion was initially done by several individuals. This resulted in the formulation of certain standards for scoring, which led to consistent scoring of the outcome index. Because of the large numbers, all of these scoring standards are not indicated in Table E-2. Many of these are standards which prevent the individual from losing points because he is making changes which should be considered beneficial to his adjustment.

Each adjustment criterion is weighted equally. Individuals receive a +1 score for each criterion for which they quality according to scoring standards. The adjustment score is therefore the total number of criterion for which the individual has qualified, and can range from zero to plus ten.

The overall RA outcome criteria is then obtained by combining criminal and acceptable behavior index scores. With the now established RA scale, an ex-offender may counter minor delinquent behavior with adjustment factors. Also, the ex-offender who stays out of trouble, but does nothing that qualifies as adjustment, is not seen as a total success as in recidivism measures. It is our assumption that this combined score will provide a more realistic behavior criterion than had been available previously.

NOTES

1. Carol H. Weiss, *Evaluative Research: Methods of Assessing Program Effectiveness* (Englewood Cliffs, New Jersey: Prentice-Hall, 1972).
2. T. J. Kiresuk and R. E. Sherman, "Goal Attainment Scaling: A General Method for Evaluating Comprehensive Community Mental Health Programs," *Community Mental Health Journal*, Vol. 4, No. 6 (1968), pp. 443–453.
3. See: Richard P. Seiter *et al.*, *Residential Inmate Aftercare: The State of the Art* (Columbus, Ohio: Ohio State University, Program for the Study of Crime and Delinquency, 1976) for further information.
4. These characteristics were adapted from a study done by Daniel LeClair, entitled *A Profile of Characteristics Distinguishing Between Program Completers and Program Non-Completers in Massachusetts' Pre-Release Centers* (Boston: Massachusetts Department of Corrections, November 1975).
5. See: Herbert W. Eber, "Multivariate Methodologies for Evaluation Research," in *Handbook of Evaluation Research*, Vol. I, Elmer L. Struening and Marcia Guttentag (eds.) (Beverly Hills, California: Sage Publications, 1975) pp. 553–570; J. E. Overall and C. J. Klett, *Applied Multivariate Analysis* (New York: McGraw-Hill, 1972).
6. See: John Robinson and Phillip Shaver, *Measures of Social Psychological Attitudes* (Ann Arbor, Michigan: Institute for Social Research, University of Michigan, 1973).
7. John M. McCartt and Thomas J. Mangogna, *Guidelines and Standards for Halfway Houses and Community Treatment Centers* (Washington, D.C.: United States Department of Justice, Law Enforcement Assistance Administration, Technical Assistance Division, 1973).
8. Richard P. Seiter, *Evaluation Research as a Feedback Mechanism for Criminal Justice Policy Making*, Unpublished Ph.D. dissertation, Ohio State University, 1975.

CHAPTER IV. INNOVATIVE VARIATIONS

As we suggested in the first chapter of this Program Model, until relatively recently halfway houses themselves were considered to be innovative programs within the framework of the traditional correctional process. The trend toward the use of community-based programs, such as parole, probation, work release, and furlough, has reinforced the interest of correctional professionals in the positive rehabilitative influences of the relatively "natural" environment of the community. We noted earlier that there has been an enormous increase in the number of halfway houses operating in the United States in just the last 20 years. In fact, these programs have now become so common that they cannot longer really be considered innovative, but rather are a relatively ordinary tool available to correctional personnel.

Halfway house administrators themselves, rather than simply accepting their own programs as they are, are asking: what is new? what can help us do our job more effectively? New and innovative techniques can, of course, apply to house administration as well as treatment programs. In the following chapter, we will discuss four new or unusual techniques which are considered effective in the areas of administration and treatment. Two of the techniques are management tools: Management by Objectives and a Management Information System. Both of these techniques are flexible and can be adapted to virtually any style of house administration. The remaining two techniques are treatment tools: the Mutual Agreement Program (MAP) and the use of restitution in halfway houses. Again, these techniques can be modified as needed to accommodate differing treatment philosophies.

In preceding sections, we have stressed the importance for the halfway house administrator of careful attention to the problems of house management. We have pointed out that many houses have concentrated all their efforts on provision of treatment services to residents, at the expense of considering the types of management tools which the administrator may use to facilitate house operation. We are not, of course, advocating the position that treatment programs are of secondary importance; we are suggesting that a well conceived, carefully implemented management strategy can lighten your administrative duties by preventing the occurrences of some types of managerial problems and by making the unavoidable problems easier to handle.

In this section, we describe two management tools which have been shown to be highly effective in the halfway house setting. We have already briefly introduced the strategy of Management by Objectives (MBO) in discussing the issues of goal-setting and general house administration, in Chapter II. Management by Objectives is, however, a relatively flexible technique. Within the general boundaries of a formal process of setting goals and objectives, modifications can be made to accommodate the MBO process to the management style of the house administration.

To illustrate the degree to which techniques can vary yet still be considered MBO strategies, we will discuss two radically different MBO styles, both of which are quite effective, work well, and are appropriate to the management styles of their administrators. These styles vary in the detail and complexity of established goals and objectives, the extent of participation in the goal-setting process, and the relative emphasis placed on the goal-setting process and the goal achievement monitoring process. As an example of a highly participative MBO style which emphasizes the goal-setting process and produces a complex hierarchy of related goals and objectives, we will discuss the MBO system developed at Magdala Foundation in St. Louis. In contrast, Massachusetts Halfway Houses, Inc. of Boston, has developed an entirely different type of MBO style which more strongly emphasizes the postgoal setting of organizational communication and the tracking of progress (or lack of progress) toward the agency's stated goals and objectives. Both of these styles are discussed as examples of MBO techniques which may be altered or modified to suit various other management styles.(1)

If any management system (including MBO) is to work well, it is necessary that policies and expectations be communicated throughout the organization and that provision be made for the tracking of progress (or lack of progress) toward the organization's stated goals and objectives. As an example of a total communication and tracking system, we will discuss the Management Information System (MIS) developed by Massachusetts Halfway Houses, Incorporated (MHHI) of Boston. This system enables the administrator to monitor any phase of house operation which is considered to contribute to the

achievement of house goals and objectives, and aids the administrator in the assessment of individual employee performance.

Also included with these discussions are MBO and MIS forms used at Magdala and MHHI which illustrate the types of data which are both requirements of and the results of the implementation of MBO and MIS techniques.

A. Management by Objectives

As we have discussed earlier, Management by Objectives is simply a technique which can be used to provide an effective agency management program. The MBO strategy developed at Magdala Foundation requires the establishment and communication of agency goals and objectives, the setting of individual staff job targets supporting those goals and objectives, and periodic reviewing and evaluating of staff performance related to those job targets and the results achieved in light of the agency's goals and objectives.

At the Magdala Foundation, Management by Objectives focuses on:

- Determining long range goals of the agency for a given time period (usually two to three years), with the desired results indicated.
- Determining the specific short range objectives for a given time period (usually 1 year), in measurable terms. These short range objectives are established to achieve related long term goals.
- Determining the specific job targets for a given time period (usually 1 to 6 months) for each staff member, in measurable terms. These job targets are established to achieve related goals and objectives and to either improve job performance or enhance knowledge related to job responsibilities.

It is important to remember that MBO is a continuous process which directs that all work carried on by the agency be arranged and conducted for the purpose of achieving the stated goals and objectives of the agency. To this end, all work is structured toward the accomplishment of very specific results within specific time periods.

The MBO process requires the development of three types of goals: long range goals, short range objectives, and job targets. The long range goals are developed in each of the agency's key result areas, that is, those areas which have been identified as being critical to the survival, growth, and effectiveness of the agency. The short range objectives are the units of work which are necessary for the achievement of long range goals. Specific job targets are set for the purpose of achieving the short range objectives. The job targets are developed for each staff member to be accomplished within specific time periods and are set by mutual agreement between the supervisor and supervisee.

Magdala Foundation considers a number of areas to be key result areas, each of which are of vital importance to the survival, growth, and development of the agency. The key result areas they use are:

- Program Delivery
- Staff Training and Development
- Community Relations and Communications
- Records, Reports, and Research
- Facilities, Equipment, and Supplies
- Finances
  - financial productivity (income and expense)
  - financial resources (for current and future needs)
  - financial profitability (debt retirement, reserves, investment returns).

Within each key result area, the agency sets long range goals, short range objectives, and job targets. All the key result areas are linked, not only to the goals and objectives of the agency, but also to each other. Thus, the failure to achieve the desired goal in one area will affect the agency's ability to achieve the desired goals in other key result areas. Failure to achieve job targets within any key result area will affect the ability to achieve short range goals and long range objectives in that key result area.

Christensen provides illustrations of the development of long range goals, short range objectives, and specific job targets which are designed to support each other within each key result area.(2) If, for example, an agency has determined that a large number of "hard core" young adult offenders who have had repeated felony convictions are not successfully completing the agency's available residential treatment program, it might develop the following plan:

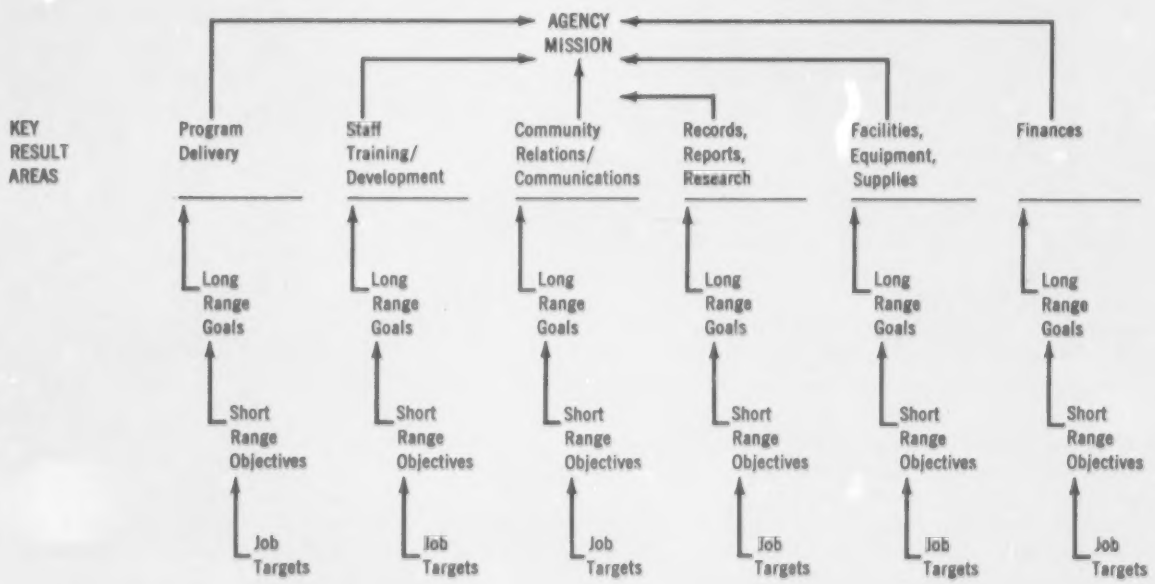
- Program Delivery (Key Result Area)
  - Long Range Goal—To have in operation by 1978 a residential treatment program from which 80 percent of the "hard core" young adult offenders successfully graduate.
  - Short Range Objective—To have written by the end of 1976 a residential treatment program for the "hard core" young adult offender.
  - Staff Job Target—By June of 1976 to have written for the first draft of a residential treatment program for the "hard core" young adult offender.
- Staff Training and Development (Key Result Area)
  - Long Range Goal—To have selected, hired and trained by 1978, the treatment staff necessary for the program.

- Short Range Objective—To have determined and written by the end of 1976 the qualifications and job descriptions for the positions necessary for the new residential program.
- Staff Job Target—By June of 1976 to have written the first draft of the qualifications and job descriptions.

- Community Relations and Communications (Key Result Area)
  - Long Range Goal—By 1978, to have identified, communicated and gained the support (financial) of at least five large businesses for a new residential treatment program for "hard core" offenders.
  - Short Range Objective—By the end of 1976, to have prepared a written proposal demonstrating the need for a residential treatment program for the "hard core" young adult offender.
  - Staff Job Target—By June of 1976, to have written the first draft of the proposal.
- Records, Reports and Research (Key Result Area)
  - Long Range Goal—By 1978, to have implemented the research design for evaluating the effectiveness of the new residential treatment program.
  - Short Range Objective—By the end of 1976, to have developed the research design.
  - Staff Job Target—By June of 1976, to have developed the first draft of the research design.
- Facilities, Equipment and Supplies (Key Result Area)
  - Long Range Goal—By 1978 to have secured, renovated and equipped the facility needed to implement the new residential treatment program.
  - Short Range Objective—By the end of 1976, to have selected the kind of facility and equipment needed to operate the new residential treatment program.
  - Staff Job Target—By June of 1976, to have determined the kind of facility and equipment needed to operate the new treatment program.
- Finances (Key Result Area)
  - Long Range Goal—By 1978, to have secured the funds needed to purchase, renovate and equip the facility, to staff the program and to research the program's effectiveness.
  - Short Range Objective—By the end of 1976, to have determined and written the annual operating budget and startup costs needed for the new residential treatment program.
  - Staff Job Target—By June of 1976, to have researched the costs related to the purchase, renovation, equipment, staffing, and research needed for the residential treatment program.

Schematically, the MBO system developed at Magdala Foundation resembles Figure 1. The primary focus of the MBO system is the agency mission. The mission

Figure 1



statement must be reasonably specific and answer the question: why is the agency in existence? The key result areas contain those problems which must be successfully confronted if the agency is to survive and grow. Long range goals and short range objectives are developed within each key result area and specific job targets are proposed which support the achievement of the stated goals and objectives.

The annual management cycle provides a process for the coordinated development, planning, review, and evaluation of the agency's goals, objectives, and targets. The cycle at Magdala Foundation begins with the development of the agency's long range goals in each key result area. The goals are expressed as measurable statements indicating the desired results to be accomplished, usually in a two- to three-year time period. The next step in the cycle is the development of the agency's short range objectives in each key result area. These objectives are similar to the long range goals, since they are also measurable statements indicating desired results. The timeframe for short range objectives, however, is usually a one-year period. The third step is the establishment, by the staff, of their job targets. These job targets are measurable statements stating what the staff member desires to accomplish, usually within one to six months. The job targets support the agency's short range objectives and are developed by mutual agreement between the supervisor and supervisee. The fourth step is a series of work planning and review (WPR) sessions between the supervisor and supervisee in which a review and assessment is made on the supervisee's progress toward the accomplishment of job targets, at which time possible impediments to target accomplishments are handled, adjustments are made, and possible new job targets developed. The fifth step in the cycle consists of the formal review and evaluation of each staff member's performance and job target accomplishment. The final step in the cycle involves the review, evaluation, and assessment of how well the agency did in accomplishing its short range objectives.

The setting of long range goals and short range objectives will be accomplished at the highest administrative level of the organization. The way in which these goals and objectives are presented is illustrated by Form A, developed by Magdala Foundation to give their yearly agency goals a tangible form. Although the long range goals of the organization are not expressed on this form, all short range objectives are broken down by key result area and are expressed in terms of the accomplishment of measurable activities within given time periods.

Job targets are set by mutual agreement between the staff member and the supervisor and are a series of statements which describe clearly and unambiguously the desired end toward which the staff member will be working. Each job target statement contains at least three important elements:

- Each statement must address an area of activity in which accomplishment takes place; that is, the statement should be directed toward the desired output, rather than the activity itself.
- Each statement contains a specific level of achievement or level of performance.
- Each statement contains the amount of time required to accomplish the objective. If a particular job target requires a prolonged period of time for completion, it should be broken down into several separate phases showing when each part will be completed.

At Magdala Foundation, job targets are both prioritized and classified. Each target statement is assigned a priority level, based on the relative importance of the specific job target to the established goals and objectives of the agency itself and to the individual's program. Even though all job targets are considered of high priority, this ranking process establishes two important factors:

- It establishes, for the staff member, the relative importance of the different job targets. For example, it may be far more worthwhile to accomplish 90 percent of a very important first-priority job target than to make sure that relatively less important second-priority job targets are met at 100 percent.
- It establishes guidelines for a more realistic evaluation, appraisal, and rating of the staff member's performance.

In addition to prioritization, each specific job target must fall within one of the three goal classification categories:

- *Routine Goals* are essential and recurring. They can be counted and measured and are routine and regular. Their significant contribution is to organizational and program stability.
- *Problem-Solving Goals* are goals which restore normality, which heal things that are not going well or have deviated from normal routine. The result of their accomplishment is a return to the status quo.
- *Innovative Goals* call for creativity and inventiveness. They are the kind of goals which create new methods and introduce improvements. They are essential to the development and growth of both Magdala Foundation and the individual program unit. They seek growth beyond existing levels in volume, quality, cost, time, and other variables. They tend to be less susceptible of measurement than the other two types of goals and have less certain outcomes.

Following the determination of specific job targets, the

FORM A

SIGN EMPLOYEE_____ DATE_____

SPECIFIC JOB TARGET WORK SHEET

POSITION_____

(Results Expected by Mutual Agreement)

IG=Innovative Goals

PS=Problem Solving Goals

R=Routine Goals

SIGN SUPERVISOR_____ DATE_____

(Circle One)

JUNE DECEMBER YEAR_____

GOAL I.D. & CLASS	TARGET DESCRIPTION (A)	PRIORITY RANK (B)	TIME PERIOD FROM-TO (C)	RESULTS (D)

Form-M USE REVERSE SIDE TO IDENTIFY ACTION PLANS TO ACCOMPLISH TARGET AND ANALYZE RESULTS

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Page_____

supervisor and staff member develop written action plans which explain how the staff member intends to accomplish each job target.

As previously mentioned, management planning and development at Magdala Foundation is conducted in annual cycles. Each cycle generally begins in November, when the Executive Director of the agency evaluates and assesses the goals and objectives of the previous year. At this time, the Executive Director also sets the objectives for the agency and for each program unit for the coming year and makes any necessary adjustments to the long range goals. In December, the annual Work, Planning, Review, and Appraisal sessions are held between each supervisor and supervisee. At these sessions, the job responsibilities of each supervisee are reviewed and expectations are reassessed and, if necessary, changed. Each staff members' job performance is formally evaluated, based on achievement for the previous year's job targets, and the supervisor and staff member mutually agree in writing upon the staff member's job targets for the forthcoming year.

From January through May several informal, intermediate Work, Planning and Review sessions may be held. Their frequency depends on the supervisor's assessment of the staff members' need to such a session. Usually, the intermediate, informal sessions will be held at least one or two times during this period. There are several advantages to these informal sessions:

- They provide the supervisor with information on how well the staff member is moving toward the planned job targets.
- They provide the staff member with the opportunity of discussing and solving with the supervisor any problems which may arise in the accomplishment of job targets.
- They provide for possible needed adjustments to both the job targets and the time periods allowed to accomplish the job targets.
- They provide the supervisor with information on how well the overall program unit is doing in meeting the unit goals.

In June, the semiannual Work, Planning, Review and Appraisal sessions are held. These sessions are similar to those held in December. Again, necessary adjustments to job targets and objectives can be made. As in the January-May period, several informal Work, Planning and Review sessions are held from July through October. Again, the purposes of these sessions are to track, review, and assess progress toward the accomplishment of job targets, to work out problems and impediments to progress, and to make adjustments to targets. In November, the entire cycle begins anew, along with the evaluation and assessment of the goals and objectives of the preceding year.

Several features of the Magdala Foundation MBO style should be noted. First, it is obvious that the goals, objectives, and job targets which are developed become extremely detailed and complex. All of the work done at Magdala contributes to one of the key result areas which are considered critical to the agency's survival. Additionally, the goal-setting process, particularly at the specific job target level, is characterized by a high degree of participation by the staff-members who are responsible for the accomplishment of the job targets. Although the final decisions regarding job targets, objectives, and goals rest with the supervisor, a great deal of input is solicited from subordinate staff members. Finally, the emphasis at Magdala Foundation on the goal-setting process itself should be noted. While monitoring and assessment of progress toward goal achievement is obviously important, most of the effort in the Magdala Foundation's MBO style seems to be concentrated on some aspect of the goal-setting process, whether it be the initial establishment of a job target, or the adjustments and modifications which may be made as needed.

As a contrast to the MBO style at Magdala Foundation, we will now briefly look at the MBO style developed at Massachusetts Halfway Houses, Inc. (MHHI) which is quite different, but which is equally effective given the different management milieu in which it operates.

Annual goals are set for each separate program operated by MHHI.(3) The first year goals for any program are highly controlled; although there will be some input from the director of the program, the final decisions will be made by the Executive Director of MHHI, based on past performance by other programs and consistent with the overall goals of MHHI. For subsequent years, the annual program goals are set by a process involving a review of the program's past performance in goal completion, an establishment by the Executive Director of the general parameters of the proposed goal, negotiation with the program director, and a final decision by the Executive Director of the annual goal. All program directors then meet weekly with the Executive Director to track progress toward goal achievement. It should be noted that these goals are *program* goals; they are not really equivalent to specific job targets for the individual program directors. Although it is the program director who answers directly to the Executive Director, all staff members of the individual program are in part responsible for the accomplishment of the annual goals. The goals are always measurable and focus on the areas of program completion rates (successful/unsuccessful); vocational, educational, or training placements; establish-

ment of a savings account and a positive credit rating, and development by residents of sources of community support.

In addition to the less detailed nature of the established goals and objectives and the lower level of participation by subordinate staff members in the goal-setting process, the MHHI MBO style differs from the Magdala Foundation style in one other respect. The primary emphasis at Magdala Foundation in the MBO strategy seems to be on the process of achieving of mutually agreed upon goals, objectives, and job targets. In the MHHI style, however, much more emphasis is placed on the monitoring system which has been developed to track progress toward goal achievement.

B. Management Information System

As we mentioned above, the Massachusetts Halfway House, Inc. has developed a comprehensive Management Information System (MIS) which functions as a communication mechanism, a tracking and monitoring system, and a vehicle used as an aid in the evaluation of employee job performance.(4) This system requires that virtually everything done in any of the programs run by MHHI be put into writing on a routine basis. Therefore at any given time, it is always possible to tell:

- What information is being communicated throughout the organization.
- Where the organization and its various components stand in terms of the accomplishment of established goals and objectives.
- How each employee stands in terms of job performance.

The MIS at MHHI collects a large amount of data, all of which is reviewed weekly by the Executive Director who closely monitors program performance in terms of the goals which have been set for each program. Besides providing such a clear picture of progress toward goal completion and employee job performance, the routinization of data collection through the required use of a comprehensive set of data collection forms also provides the kind of data which are necessary to perform the types of evaluative research discussed in Chapter II.

The sample forms provided here are only a small percentage of the forms actually used at MHHI. They do, however, illustrate the type of data which this kind of information system can provide, and provide a base from which the forms can be modified in order to satisfy your own information needs.

We have selected five forms which are used at MHHI as examples of data collection forms which can be altered as necessary:

- *Form B*—This form shows the status of all residents of a specific program. The form is completed each week and indicates how long each client is expected to remain in residency, the caseload assigned to each counselor, and the income earned during the week by each resident.
- *Form C*—This form measures the quarterly progress of each program toward achievement of its goals in terms of: completion, number of vocational/educational/training placements; progress through status levels prescribed by the state rehabilitation commission; the establishment of a positive credit rating, and the development of community support by residents. For each category, the established goal is compared to actual program performance and any discrepancy (whether positive or negative) is noted. A comparison is also made to performance in the prior quarter.
- *Form D*—This form illustrates the monthly flow of clients through the program. Each resident can be monitored in terms of important treatment variables, such as vocational placement, salary, skill upgrading, savings, credit rating, drug/alcohol treatment, living arrangements, and constructive use of leisure time activities. The counselor assigned to each resident is identified on the form and thus can easily be held accountable for resident progress, or lack of progress.
- *Form E*—This form covers some of the more important information about each resident, including any special conditions of residency and the goals which the client will attempt to achieve during residency. This form can be used as the face sheet for the client's permanent file.
- *Form F*—This form is an eight-page staff Performance Review sheet. The job performance of all employees is reviewed annually in terms of general skills, client service skills, administrative skills, supervisory skills, personnel management skills, and training skills. Note that, consistent with the MBO orientation, employees who receive ratings of adequate or below in any area must develop a specific plan for improving their performance within a definite timeframe.

C. Mutual Agreement Program

For agencies which accept the principles of Management by Objectives, the logical extension of goal achievement for agency programs and staff members is goal achievement by program clients as well. Massachusetts Halfway Houses, Inc. has developed such a program which they call MAP (Mutual Agreement Program).(5)

FORM B

RESIDENT STATUS

WEEK ENDING _____

PROJECT _____

Expected Departure	Entry Status and Institution	Counselor	Room #	RESIDENT NAME	Room Deposit Paid	Linen Deposit Paid or Purchased	Blanket Deposit Paid	Detail Misses This Week	Total Detail Misses to date	Overnight Pass Status		Total Income This Week	Rent Status	
													Cash Paid	RWO Hours / √'d O.K.

Form No. 71428

FORM C

GOAL ACHIEVEMENT PROGRESS

PROGRAM: _____

TIME PERIOD: _____

SERVICE CATEGORY	GOAL	PERFORMANCE	DISCREPANCY	PRIOR QUARTER
1. FEDERAL RESIDENTS				
# Successful				
# Unsuccessful				
Savings				
2. STATE PRE-RELEASE RESIDENTS				
# Successful				
# Unsuccessful				
Savings				
3. STATE POST-RELEASE RESIDENTS				
# Successful				
# Unsuccessful				
Savings				
4. VOCATIONAL PLACEMENTS				
# Successful				
# Unsuccessful				
Savings				
5. IN MRC STATUS 10 OR BEYOND				
# Successful				
# Unsuccessful				
Savings				
6. ESTABLISHED POSITIVE CREDIT RATING				
# Successful				
# Unsuccessful				
Savings				
7. SOURCES OF COMMUNITY SUPPORT				
a) Has achieved a minimum rating of 10 and has improved a minimum of six points				
b) Has participated in out-residency				
c) Has relocated to community different than that prior to incarceration				

_____ MONTHLY CLIENT FLOW DATA

_____ PROGRAM

**COMPLETION RATE GOAL: _____%

**ACTUAL COMPLETION RATE: _____%

FORM D

RESIDENT NAME	STATUS / INST.	ARRIVAL DATE	LEAVING DATE	VOCATIONAL PLACEMENT & SALARY	UPGRADE SKILL / MCR STATUS	AMOUNT SAVED / CREDIT BUILDING	DRUG/ ALCH. / IN-PROGRAM	LIVING WITH / CHANGE	LTA SCALE ARRIVAL / LEAVING	RELEASE STATUS AND COMMENTS

FORM E

MHHI INDIVIDUAL LOG FACT SHEET

NAME: _____ ROOM NUMBER: _____

STATUS: _____ ARRIVAL DATE: _____

COUNSELOR: _____ LEAVING DATE: _____

CURFEW: _____

_____

_____

_____

_____

_____

DAILY DETAIL ASSIGNMENT:

_____

_____

_____

_____

EMERGENCY CONTACT: NAME: _____ _____

ADDRESS: _____ _____

_____ _____

TELEPHONE: _____ _____

SPECIAL CONDITIONS:

GOALS:

OTHER:

FORM F

Massachusetts Half-Way Houses Incorporated Box 348 Boston, Massachusetts 02117 Telephone (617) 261-1864

MHHI STAFF PERFORMANCE REVIEW

NAME:_____ DATE:_____

POSITION:_____ DATE OF EMPLOYMENT:_____

PROGRAM:_____ DATE OF LAST SPR:_____

SUPERVISOR:_____

SUPERVISES:_____

TYPE OF REVIEW: 6 MONTHS ( ) ANNUAL ( )

SPECIAL ( ) REQUESTED BY:_____

PEOPLE PRESENT AT REVIEW:_____

_____

The purpose of the SPR is to provide a formal mechanism for evaluating the effectiveness of individual staff performance on a regular basis. The SPR is expected to identify the strengths and weaknesses of staff members in relation to their roles and responsibilities; and to determine concrete methods for expanding and developing strengths and improving areas of weakness. In addition, the SPR provides a tool for determining the appropriateness of training and supervision, the provision of adequate compensation, and the opportunity for upward mobility within MHHI.

In the individual sections which follow, the rating scale below is to be used:

1....poor performance; attention needed
2....fair performance; significant improvement needed
3....adequate performance
4....good performance; refinement and expansion of role and skills needed
5....excellent performance; no improvement needed

For any areas with ratings of 3 or below, specific plans for improving performance within definite timeframes must be included.

I. GENERAL SKILLS:

A.) ATTENDANCE _____

B.) TIMELINESS IN ARRIVING AT WORK _____

C.) TIMELINESS IN LEAVING WORK _____

D.) PERSONAL APPEARANCE _____

E.) ABILITY TO MANAGE TIME EFFECTIVELY _____

F.) ORGANIZATIONAL ABILITY _____

G.) ABILITY TO CHOOSE PRIORITIES _____

H.) ABILITY TO WORK WELL WITH OTHER STAFF MEMBERS _____

I.) PARTICIPATION IN STAFF MEETINGS & TRAINING _____

J.) PREPARATION FOR STAFF MEETINGS & TRAINING _____

K.) UTILIZATION OF OTHER STAFF AS RESOURCES _____

L.) VERBAL COMMUNICATION ABILITY _____

M.) WRITTEN COMMUNICATION ABILITY _____

N.) ABILITY TO TAKE INITIATIVE _____

O.) ABILITY TO BE CREATIVE _____

P.) ABILITY TO WORK WITH MINIMAL SUPERVISION _____

Q.) ACCESSIBILITY FOR COMMUNICATION _____

R.) RESPONSIVENESS TO FEEDBACK _____

AVERAGE RATING _____

Please use back of sheet to identify specific recommendations and timeframes.

II. CLIENT SERVICE SKILLS:

Provide numerical rating for each area below. If area is not applicable to role, indicate with "Does not apply" (DNA)

A.) PREPARATION FOR NEW RESIDENT ARRIVALS _____
B.) NEW RESIDENT INTAKE AND ORIENTATION _____
C.) NEEDS ASSESSMENT, PLANNING, RESOURCE IDENTIFICATION _____
D.) GOAL-SETTING AND CONTRACTING WITH RESIDENT _____

E.) VOCATIONAL PROGRAM PLANNING & PLACEMENT _____
F.) VOCATIONAL PROGRAM AND/OR SKILLS UPGRADING _____
G.) UTILIZATION OF COMMUNITY RESOURCES FOR VOCATIONAL PROGRAM _____

H.) DEVELOPMENT OF INCOME BUDGETING _____
I.) DEVELOPMENT OF SAVINGS PROGRAM _____
J.) DEVELOPMENT OF CREDIT-BUILDING PROGRAM _____

K.) LEISURE TIME ACTIVITY PLANNING AND COUNSELLING _____
L.) DEVELOPMENT OF NEW PEER GROUPS WITH RESIDENT _____
M.) DEVELOPMENT OF NEW SOCIAL OUTLETS WITH RESIDENT _____
N.) PLACEMENT IN NEW COMMUNITY RESIDENCE _____
O.) FAMILY AND/OR "SIGNIFICANT OTHER" COUNSELLING _____
P.) UTILIZATION OF COMMUNITY RESOURCES _____

Q.) KNOWLEDGE OF REALITY THERAPY COUNSELLING AND MHHI COUNSELLING MANUAL _____
R.) ABILITY TO CONFRONT BEHAVIOR WHEN APPROPRIATE _____
S.) ABILITY TO TRANSFER SUPPORT VIA LIMIT-SETTING _____
T.) ABILITY TO TRANSFER SUPPORT VIA EMPATHY _____
U.) ABILITY TO TEACH/TRANSFER SKILLS _____
V.) ABILITY TO COMMUNICATE EXPECTATIONS _____
W.) ABILITY TO FOLLOW THROUGH _____
X.) ABILITY TO STRUCTURE RESIDENT ACTIVITIES _____
Y.) USE OF THE LOG AS A CASE MANAGEMENT TOOL _____
Z.) USE OF SUPERVISOR AS A RESOURCE _____

AVERAGE RATING _____

Please use the back of this sheet to identify specific recommendations and timeframes.

III. ADMINISTRATIVE SKILLS:

A.) UNDERSTANDS THE PURPOSE OF REPORT-WRITING AND RECORD-KEEPING _____
B.) ACCURATELY COMMUNICATES NECESSARY INFORMATION _____
C.) FULLY COMMUNICATES NECESSARY INFORMATION _____
D.) COMMUNICATES NECESSARY INFORMATION ON TIME _____

E.) WRITING SKILLS _____
F.) TYPING SKILLS _____
G.) MAINTENANCE OF FILES IN AN ACCURATE, COMPLETE, TIMELY, AND USABLE MANNER _____

H.) DEMAND AND SET LIMITS FOR RELEVANT DATA FROM SUPERVISEES _____
I.) DISTINGUISH RELEVANT DATA FROM IRRELEVANT DATA _____
J.) TAKE INITIATIVE TO REDUCE PAPERWORK _____
K.) INNOVATE IN OFFERING INFORMATION _____
L.) PREPARE AGENDAS FOR ALL MEETINGS _____
M.) PREPARE ACCURATE, COMPLETE AND TIMELY MINUTES OF MEETINGS _____

N.) UTILIZE TIME AND PERSONAL RESOURCES WELL _____
O.) ESTABLISH PRIORITIES FOR SELF AND OTHERS _____
P.) FUNCTION ACCORDING TO RELEVANT SCHEDULE _____

Q.) UTILIZATION OF LOG AS AN ADMINISTRATIVE TOOL _____
R.) REVIEW AND EDITING OF ADMINISTRATIVE ISSUES _____
S.) ABILITY TO PLAN AHEAD _____
T.) ABILITY TO DEVELOP REALISTIC AND THOROUGH PLANS _____
U.) ABILITY TO ANALYZE AND EVALUATE SYSTEMS DATA _____

AVERAGE RATING _____

Please use the back of the sheet to identify specific recommendations and timeframes.

IV. SUPERVISORY SKILLS:

A.) KNOWLEDGE OF THE ROLE/RESPONSIBILITIES OF A SUPERVISOR _____

B.) KNOWLEDGE OF MANAGEMENT BY OBJECTIVE TECHNIQUE _____

C.) UTILIZATION OF MBO TECHNIQUES _____

D.) ABILITY TO ASSIGN TASKS APPROPRIATELY _____

E.) ABILITY TO OUTLINE PROCEDURES _____

F.) ABILITY TO OUTLINE EXPECTED RESULTS _____

G.) ABILITY TO PROVIDE TIMELY AND USEFUL FEEDBACK _____

H.) ABILITY TO DELEGATE RESPONSIBILITY APPROPRIATELY _____

I.) ABILITY TO DELEGATE AUTHORITY APPROPRIATELY _____

J.) ABILITY TO SUPERVISE DELEGATED WORK _____

K.) ABILITY TO PROVIDE ACCOUNTABILITY _____

L.) ABILITY TO RECOGNIZE THE NEEDS OF SUPERVISEES _____

M.) ABILITY TO TRANSFER SKILLS TO SUPERVISEES _____

N.) ABILITY TO DEVELOP RELEVANT SUPERVISORY AGENDA _____

O.) MAINTENANCE OF SUPERVISION MEETING RECORDS _____

P.) ABILITY TO DEVELOP RELEVANT PLANS/TIMEFRAMES TO RESOLVE SUPERVISORY PROBLEMS _____

Q.) UTILIZATION OF THE LOG AS A SUPERVISORY TOOL _____

R.) UTILIZATION OF DATA SYSTEMS AS A SUPERVISORY TOOL _____

S.) APPLICATION OF MHHI POLICIES AND PROCEDURES _____

T.) ABILITY TO STRUCTURE AND MANAGE PERSONAL RESOURCES OF SUPERVISEES _____

U.) ABILITY TO FUNCTION ACCORDING TO REGULAR SUPERVISION SCHEDULE _____

V.) ABILITY TO ENCOURAGE PARTICIPATION OF OTHERS IN PLANNING _____

W.) UTILIZATION OF SUPERVISION AS ON-THE-JOB TRAINING TOOL _____

AVERAGE RATING _____

Please use the back of the sheet to identify specific recommendations and timeframes.

V. PERSONNEL MANAGEMENT SKILLS:

A.) KNOWLEDGE OF MHHI PERSONNEL POLICIES AND PROCEDURES _____
B.) APPLICATION OF MHHI POLICIES AND PROCEDURES _____
C.) KNOWLEDGE OF AFFIRMATIVE ACTION PLAN AND POLICIES _____
D.) APPLICATION OF AFFIRMATIVE ACTION POLICIES AND PROCEDURES _____

E.) ABILITY TO RECRUIT AND HIRE COMPETENT PERSONNEL _____
F.) ABILITY TO DEVELOP COMPETENT PERSONNEL _____
G.) ABILITY TO RETAIN COMPETENT PERSONNEL _____
H.) ABILITY TO PLAN AHEAD REGARDING PERSONNEL NEEDS _____

I.) ABILITY TO UTILIZE AND SCHEDULE PERSONNEL RESOURCES EFFECTIVELY _____
J.) ABILITY TO MOTIVATE PERSONNEL _____
K.) ABILITY TO DEVELOP EFFECTIVE STAFF INTER-DEPENDENCY _____

L.) ABILITY TO IDENTIFY STRENGTHS AND WEAKNESSES OF PERSONNEL _____
M.) ABILITY TO DEVELOP STRENGTHS OF PERSONNEL _____
N.) ABILITY TO DEVELOP PLAN/TIMEFRAMES TO IMPROVE WEAKNESSES OF PERSONNEL _____
O.) ABILITY TO TERMINATE INEFFECTIVE PERSONNEL _____

P.) KNOWLEDGE OF RELEVANT PERSONNEL POSITION ROLES AND RESPONSIBILITIES _____
Q.) ABILITY TO CLEARLY DEFINE ROLES AND RESPONSIBILITIES _____

AVERAGE RATING _____

Please use the back of the sheet to identify specific recommendations and timeframes.

VI. TRAINING SKILLS:

A.) ABILITY TO RECOGNIZE OWN NEEDS AS A TRAINEE _____

B.) INITIATIVE IN SEEKING AND UTILIZING ADDITIONAL TRAINING _____

C.) ABILITY TO EFFECTIVELY INTEGRATE TRAINING INTO JOB PERFORMANCE _____

D.) ABILITY TO UTILIZE SUPERVISION AS ON-THE-JOB TRAINING _____

E.) ABILITY TO RECOGNIZE NEEDS OF SUPERVISEES _____

F.) ABILITY TO PROVIDE EFFECTIVE ON-THE-JOB TRAINING VIA SUPERVISION _____

G.) UTILIZATION OF THE LOG AS A TRAINING TOOL _____

H.) ABILITY TO TRANSFER SKILLS TO A TRAINEE _____

I.) ATTENDANCE AT IN-SERVICE TRAINING SESSIONS _____

J.) PARTICIPATION AT IN-SERVICE TRAINING SESSIONS _____

K.) PRESENTATIONS AT IN-SERVICE TRAINING SESSIONS _____

L.) UTILIZATION OF COUNSELOR'S MANUAL AS A TRAINING TOOL _____

M.) INITIATIVE IN DEVELOPING ADDITIONAL TRAINING _____

AVERAGE RATING _____

Please use the back of the sheet to identify specific recommendations and timeframes.

SUMMARY NOTES: _____

SUBMITTED BY _____ _____ _____
NAME TITLE DATE

Under the MAP concept, the house staff, the parole authorities, and the resident agree to a three-way contractual commitment:

- Residents must assume responsibility for planning (along with program staff) and successfully completing an individually-tailored rehabilitative program in order to obtain release on parole as a mutually agreed upon date.
- Parole Board members must establish a firm parole date and honor it if the resident fulfills the explicit objectives and mutually agreed upon criteria stated in the MAP contract.
- Program staff must provide the services and training sources required by the resident, as explicitly guaranteed in the contract, and must fairly assess their own performance in the program.

The MAP program, then, includes the following elements within a written, three-party contract:

- The establishment of a certain release date (also called a reserve date)
- Explicit, objective conditions of release
- Explicit statement of responsibility for the resident, the program (as represented by the resident's counselor) and the Parole Board
- The resident's choice of an individualized rehabilitation program.

Generally, the MAP process begins when the client begins his residency at the house. The resident is responsible for writing his own portion of the contract within 5 days of entering the house. In order to do this, he may talk to other residents, look at other residents' contracts, and talk to house staff to find out what services are available and what services he might want to use. The resident then prepares his own objectives and timeframes; these objectives constitute the resident's responsibilities to the contract. The resident's counselor also completes his section of the contract, in which he guarantees certain services to be performed within definite timeframes.

Progress toward goal achievement is monitored by daily contact between the resident and his counselor as well as 1 hour of formal counseling every week. The role of the Parole Officer is initially minimal—not much more than a guarantee that fulfillment of the contract will, in fact, lead to release. However, after the reserve date has been reached and the resident has achieved parole status, the role of the Parole Officer is enlarged and the role of the program counselor is reduced.

A sample contract which is used by MHHI follows (Form G). Note that all three parties—the resident, the program counselor, and the representative of the Parole Board—agree to the contract, which consists of the resident's objectives and timeframes and the program services and timeframes.

D. Restitution in Community Residential Centers

Although the widespread use of community residential centers is a relatively recent addition to the correctional process, halfway houses themselves have lost the characterization of "innovative programs." They have become commonplace and consequently may fail to excite the enthusiasm of beleaguered funding agencies. As a response to this situation, administrators of potential and existing residential centers are beginning to ask: what is new? what is innovative? where do we go from here? Probably the most discussed area into which halfway house operation may expand is restitution.

Restitution, as the term is generally used, involves payment by the offender either directly or through a third party to the victim as redress for the damages done as a consequence of the offender's criminal act. A number of persons who work in community corrections believe that halfway houses are an excellent structure within which to arrange and monitor these payments. In addition, restitution is seen as an appealing concept by most laymen, because they see the offender putting right his wrongs. The favorable public opinion generated by restitution is seen as a significant asset by halfway house administrators.

Unfortunately, restitution cannot be used as a panacea for ailing halfway house operations, nor should it be the single base upon which to build a house operation. Evidence which is currently available indicates that restitution can be established as a part of a halfway house operation, that it is an additional sanction that can increase sentencing flexibility, and that the major problems associated with restitution programs can be resolved. This section describes a halfway house designed on the concept of restitution and discusses some issues which can be expected to arise if restitution is added as an element in a halfway house program.

1. *The Minnesota experiment* (6). The Minnesota Restitution Center is a community-based residential program designed to provide a diversionary alternative to long-term incarceration for property offenders.(7) The central component of the program is a restitution contract negotiated between the offender and victim. Upon satisfactory completion of the negotiation, the offender is paroled to the director of the Restitution Center to find employment and begin discharging both his contractual and parole obligations. Specifically the objectives of the program are:

- To provide a means by which the offender may

FORM G

RESIDENCY CONTRACT

INTRODUCTION

On this day of _____, 19____, the contract contained herein was agreed to by _____, the _____ program, and the Massachusetts Parole Board representative. This contract defines the mutual responsibilities of each party in developing and implementing an individualized program to assist _____ in making a successful reintegration to his community.

PART I: RESIDENT

I, _____, understand and agree to pursue and achieve the objectives identified in Part IV of this contract. I understand and agree that if circumstances significantly change, I may petition for a renegotiation of this contract. I will make every reasonable effort to achieve my stated objectives, and realize that my failure to do so may be cause for cancelling or renegotiating this contract.

PART II: _____ PROGRAM

I, _____, representing the _____ program, understand and agree to provide the counseling, resource development, referral, and other services identified in Part V of this contract. I understand and agree that if circumstances significantly change, I may petition for a renegotiation of this contract. I will make every reasonable effort to provide the services stated, and realize that my failure to do so may be cause for cancelling or renegotiating this contract.

PART III: PAROLE REPRESENTATIVE

I, _____, representing the Massachusetts Parole Board, understand and agree that in accordance with the vote of the Parole Board, the above named resident will:

1. Receive a Parole Hearing on _____;
2. Be paroled on the voted Parole Reserve Date of _____

contingent upon the above named resident's fulfillment of the objectives stated in Part IV of this contract and fulfillment of the conditions specified by the Parole Board, I understand and agree to act on behalf of the resident in all matters pertaining to the Parole Board.

Resident _____ Date _____

Program Staff Representative _____ Date _____

Parole Representative _____ Date _____

PART IV: RESIDENT'S OBJECTIVES AND TIMEFRAMES

A. VOCATIONAL DIRECTION
   1) EMPLOYMENT:

   2) VOCATIONAL TRAINING:

   3) EDUCATION:

B. FINANCIAL MANAGEMENT
   1) BUDGET RESPONSIBILITIES:

   2) SAVINGS GOAL (WEEKLY AND TOTAL):

   3) CREDIT BUILDING:

C. COMMUNITY SOURCES OF SUPPORT
   1) FAMILY/MARITAL RELATIONSHIPS:

2). PEER GROUPS:

3) SOCIAL OUTLETS:

4) COMMUNITY RESIDENCE:

5) COMMUNITY VOLUNTEER WORK:

D. OTHER
1)
2)
3)
4)

PART V: PROGRAM SERVICES AND TIMEFRAMES

A. VOCATIONAL DIRECTION:
1) EMPLOYMENT:

2) VOCATIONAL TRAINING:

3) EDUCATION:

B. FINANCIAL MANAGEMENT
1) BUDGET RESPONSIBILITIES:

2) SAVINGS GOALS (WEEKLY AND TOTAL):

3) CREDIT BUILDING:

C. COMMUNITY SOURCES OF SUPPORT
1) FAMILY/MARITAL RELATIONSHIPS:

2) PEER GROUPS:

3) SOCIAL OUTLETS:

4) COMMUNITY RESIDENCE

5) COMMUNITY VOLUNTEER WORK:

D. OTHER
1)
2)
3)
4)

compensate the victims for their material loss due to his criminal actions.

- To provide intensive personal parole supervision.
- To provide the offender with information about his behavior and offer him the opportunity to resolve personal problems and continue to develop personal strengths and interpersonal skills through regular and frequent group and individual counseling.
- To provide the victim with restitution to compensate for direct losses as a result of the offender's criminal actions.
- To disseminate information regarding the restitution concept and the Minnesota Restitution Center to other Criminal Justice agencies throughout Minnesota, the United States and Canada and to the general public.
- To continue to undertake valid research and evaluation of the concept of restitution in general and this program in specific to disseminate this data within the Department of Corrections and to other interested agencies.(8)

The Restitution Center serves a population of property offenders who have served 4 months or less in prison, who are not considered dangerous or chronic recidivists, and who appear to have the potential earning power to complete restitution within the remaining sentence time by making reasonable payments. Middle class individuals who could make restitution without the support of the Center or middle class individuals who have chosen to live outside the law are excluded from the program.

Restitution Center staff meet with program candidates at the institution to explain the restitution program. Participation in the program is at the option of the offender and the pleasure of the program screening committee and staff. Following acceptance into the program, the offender meets with an assigned counselor from the Center and begins the process of preparing a restitution contract.

The restitution contract is a four-party agreement involving the victim, the offender, the Restitution Center staff, and the Minnesota Corrections Authority. The offender agrees to pay the victim a certain amount of money for losses suffered as a result of his offense. The victim agrees to accept the payments as full settlement for damages. The Restitution Center monitors and enforces the contract. The Minnesota Corrections Authority agrees to parole the offender so he can fulfill the contract. (See Form H for sample contract).

The amount of damages is determined from discussions with the victim and the offender and review of police reports, presentence investigations, and court transcripts. Every attempt is made to bring the offender and victim together with a Restitution Center staff member as mediator for direct negotiation. If a face-to-face meeting is impossible, the staff member will act as a go-between. Occasionally, victims refuse to participate in the contract. This situation is handled by setting up an account in a local bank in the name of the victim, into which the restitution payments are made. When the contract is completed, a check is mailed to the victim. Following completion of contract negotiations, the offender is paroled to the Center.

Physically, the Center consists of the entire seventh floor of the downtown Minneapolis YMCA. The facility has 21 single bedrooms, offices and living space. Food service is provided through YMCA cafeteria meal tickets, if required. The Center is designed to operate with an eleven member staff which includes a Project Director, a Program Supervisor, four Parole Counselors, four Shift Counselors and an Office Manager.

The Counselors serve as Parole Officers for the individual resident and provide one-to-one assistance. In addition to individual counseling, group meetings based on the Transactional Analysis model occur twice weekly. Residents with special problems are referred to specialized community resources.

The house program is divided into three phases. Phase One is "orientation". It lasts 6 weeks and focuses on the offender's readjustment to the community, fitting into the Center, and finding employment. Phase Two lasts at least 8 weeks and emphasizes the resident's assumption of greater responsibility. He begins to share the costs of his maintenance and makes his first restitution payment. During Phase Three, 3 to 4 months after his entry into the program, the resident moves from the Center into the community and shifts to conventional parole supervision.(9)

2. *Results.* Research completed in November of 1975 indicated that a total of 87 men were paroled to the Restitution Center during a three year period ending July 31, 1975. Although almost 38 percent of those paroled have been returned to prison for violation of their parole conditions, only 14 percent were returned for felony convictions or alleged felonies. During this same period, $34,704 in restitution was negotiated and $14,600 actually repaid. When corrections are made for outstanding restitution owed by current program participants, it appears that about one out of every two dollars negotiated is actually repaid.(10)

3. *Issues raised by restitution.* The Minnesota Experiment with restitution has raised a number of issues which should be carefully considered before planning a halfway house program with a restitution component.

First, what is the purpose of restitution? Is it a system for compensating crime victims? If it is, it does not

appear to be particularly effective. The proportion of offenders actually apprehended is small. This number is further reduced because all those apprehended are not convicted, and all convicted are not financially able to pay restitution. Furthermore, if one holds that restitution is appropriate only for property offenders, the number is reduced still more. Only a small proportion of crime victims will be compensated, probably less than 3 percent.(11) It is also evident that the costs of running this type of residential program will far outweigh any restitution collected. In the Minnesota example, program costs of about $35 were incurred for every dollar collected. Clearly the program will have to generate substantial benefits other than victim compensation to be economically viable.

Is restitution a therapeutic tool which forces the offender to take responsibility for his actions? The answer, although far from clear, is probably negative. Research in Minnesota indicates that only about 37 percent of the victims to whom restitution is paid are actually individuals or individually-owned businesses. The rest are corporate businesses, government agencies and other agencies. A large number of the victims are insurance companies.(12) Offenders, like a great many other individuals, have some difficulty conceiving of large corporations as victims.

Finally, is restitution merely another sanction to be imposed on persons convicted of criminal acts? The answer here is probably "yes," and the implication is that restitution should be viewed as an element in the community correctional process, but not the entire focus of the process. At this point there is little evidence to indicate that restitution can serve as more than an additional sanction, but even in this role it provides additional options to sentencing and correctional authorities and should be made available. Its benefits should not, however, be oversold.

A second major issue in restitution concerns the offender's ability to fulfill his obligation. Given the fact that a great many offenders are at or near the minimum level of employment skills, there may be little opportunity for monetary restitution without intensive provision of employment-related services. Some type of in-kind or symbolic restitution might be substituted, but this too may depend on the offender's having some useful skill. The low earning power of most offenders and the lack of unskilled jobs are likely to be constant difficulties for restitution programs.

Third, the number of potential participants for a residential restitution program may be very limited. The eligible population may be severely reduced by restrictions which limit programs only to property offenders, which exclude persons with any history of assaultive behavior, and persons with chemical dependency problems. Broad restrictions on eligibility for this type of program may be politically necessary, but they can also eliminate the very persons the program was designed to help. It is well to remember that excluding offenders also excludes their victims from possible benefit.

Fourth, the paying of restitution may or may not remove the offender from his obligation to the victim. In most if not all cases, the negotiating of restitution does not negate the victim's right to civil action against the offender. This can vary from location to location, and all parties to restitution contracts should be aware of options which exist.

Finally, since restitution probably is not the sole sanction against the offender, how does it trade off with other sanctions? Should it reduce incarceration time or parole time, and if it does by how much? Who should determine this? If contracts are not fulfilled, what are the penalties? These are all operational questions which are yet to be answered.

4. *Summary*. Residential programs which emphasize restitution concepts have met with moderate success with offenders who have served relatively short periods of incarceration. The Minnesota program serves as a diversion from long incarceration; a Georgia program serves both probationers and parolees on prerelease.(13) Residential restitution programs are expensive, particularly if the only planned benefit is restitution which is collected. Galloway has suggested that experience with restitution indicates that:(14)

- Restitution programs can be established in a variety of criminal justice agencies. At present, restitution programs are administered by prosecutors, private organizations, neighborhood citizen groups, juvenile courts, adult court services, and state departments of corrections. Furthermore, program examples can be found at all stages of the criminal justice process—pretrial diversion, prosecution, probation, and institutional services. Programs have been established which both distribute the restitution programming among existing staff and which specialize these functions in special units or organizations.
- Restitution can be added to existing sanctions. The typical pattern has been to add restitution requirements to other sanctions or required services. Examples include adding restitution to usual probation conditions, requiring the offender to reside in a restricted setting while making restitution, and requiring the offender to participate in group counseling or other treatment activities while implementing a restitution plan.

- Problems in determining the form and amount of restitution are resolvable. Further, restitution agreements can be developed under circumstances of direct victim-offender negotiations or circumstances in which the negotiations are through a third party without direct victim-offender contact.

FORM H

RESTITUTION CONTRACT

SPECIAL CONDITIONS PAROLE AGREEMENT OF
JOSEPH RESIDENT

As special conditions of this certain parole agreement of Joseph Resident, executed on the _____ day of _____, 19____, the following conditions have been agreed to by Joseph Resident, Sam Victim, and the staff of the Minnesota Restitution Center, a program operated by the Minnesota Department of Corrections.

In addition to the terms and conditions provided in the above described parole agreement, I, Joseph Resident, do also hereby agree to the following conditions:

1. To make restitution to the victim of my offense to the total amount of Two Hundred Forty and no/100 ($240.00) Dollars. This total amount of restitution is made up of damages to a vehicle owned by Sam Victim.

   a. Replacement of a Transmission $150.00
      Labor Costs of Said Replacement 90.00
      TOTAL $240.00

2. To make restitution in the amount of Forty and no/100 ($40.00) Dollars per month for a period of six (6) months.

3. To live under the direct supervision of the Minnesota Restitution Center, to honor faithfully all conditions of the planning report prepared in my behalf and to live in accordance with the rules and regulations of said program. I understand and agree that the staff of the Minnesota Restitution Center has the responsibility to supervise my parole/probation on behalf of the Corrections Board of the State of Minnesota.

4. I understand that failure to comply with any and all of the terms and conditions of this special parole agreement shall be grounds for the revocation of my parole. I also understand that any two (2) month delinquency in my satisfying the schedule of my restitution payments, unless I am unemployed during this period, will result in a written report to the Corrections Board.

The staff of the Minnesota Restitution Center agrees to the following:

1. To supervise Mr. Resident's parole/probation and provide in this connection all reports required by the Corrections Board as to Mr. Resident's continuing progress in the Restitution Center program.

2. To make recommendations to the Corrections Board as to Mr. Resident's continuance or discharge from parole/probation. In all cases, the final decision as to these matters will be solely the responsibility of the Corrections Board.

Sam Victim, the victim, agrees to the following conditions:

1. That payment of the above described restitution shall constitute full payment of any and all obligations for which Mr. Resident was duly convicted, and sentenced to the Minnesota State Prison/Reformatory.

2. To maintain involvement with Mr. Resident to the extent that this involvement is seen as appropriate by the staff of the Minnesota Restitution Center.

Any major changes in this agreement can occur only after the formal approval of the Corrections Board.

NOTE: The Restitution Conditions of this special parole agreement are valid only as long as Mr. Resident is a member of the Minnesota Restitution Center program.

Joseph Resident	Date
Sam Victim	Date
Parole Counselor, Minnesota Restitution Center	Date
Chairman, Corrections Board	Date

NOTES

1. The information about the MBO styles developed at Magdala Foundation and Massachusetts Halfway Houses, Inc. was collected by the authors during the course of visits to St. Louis and Boston. Of great value were extensive interviews with the Executive Directors of Magdala and MHHI and other key members of their staffs.
2. Tom H. Christensen, "Management by Objectives as Decision Making," in *The Regional Institute on Community Residential Treatment Centers* (St. Louis University, Center for Urban Programs, July 1976) pp. 83–84.
3. MHHI, like a great many other large agencies, simultaneously operates a number of different residential programs under the same administrative umbrella. The differences in programs may be that some are offered for males or females only, while others are co-educational, some programs may be targeted toward a specific offender population (drug abusers, property offenders, etc.), and some programs may operate under different treatment modalities (reality therapy, token economy, behavior modification, etc.)
4. This information was collected by the authors during interviews with the Executive Director of Massachusetts Halfway Houses, Inc.
5. This information was provided to the authors during interviews with Paul Leaman, the Director of 699 House (a part of MHHI) and his staff.
6. The material presented in this section is the result of a site visit by the authors to the Minnesota Restitution Center, interviews with its director, Mr. Ronald Johnson, and documents provided during an interview with Mr. Steven Chesney of the Minnesota Department of Corrections.
7. The Restitution Center discussed herein was closed by the Minnesota Department of Corrections on January 1, 1977. The state, however, will still promote the use of restitution. See: "Minnesota Expands Restitution, but Closes Its Residential Center," *Judicature*, Vol. 6, No. 8 (March 1977), p. 405.
8. "Goals and Objectives—Minnesota Restitution Center," Mimeograph, July 1, 1975.
9. Robert M. Mowatt, "The Minnesota Restitution Center: Paying of the Ripped Off," in *Restitution in Criminal Justice*, a monograph and papers presented at the Fourth International Symposium on Restitution, November 1975, Joe Hudson (ed.), pp. 199–200.
10. Minnesota Restitution Center—Interim Research Report. Minnesota Department of Corrections, January 1975.
11. John A. Stookey, "The Victim's Perspective on American Criminal Justice," in *Restitution in Criminal Justice*, ibid., pp. 4–12.
12. Steven L. Chesney, "The Assessment of Restitution in the Minnesota Probation Services," in *Restitution in Criminal Justice*, ibid., pp. 146–190.
13. Bill Read, "The Georgia Restitution Program," in *Restitution in Criminal Justice*, ibid., pp. 216–227.
14. Burt Galloway, "Toward the Rational Development of Restitution Programming," in *Restitution in Criminal Justice*, ibid. pp. 74–87.

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